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# Examining case management models for community sentences

Sarah Partridge

Home Office Online Report 17/04

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# Contents

Acknowledgements	3
Executive summary	4
<b>1. Introduction and background to the research</b>	<b>10</b>
Case management and the Probation Service: why now?	10
A review of the community care literature	11
Evidence for case management effectiveness?	13
Case management in the probation context	14
'Drivers' of probation case management	15
Research methods	16
Components of case management models in probation	17
Outline of the report	22
<b>2. Case study models</b>	<b>23</b>
<b>Case study A</b>	<b>23</b>
Local contextual factors	23
Model 'drivers' and aims	23
Offender allocation to staff, teams and units	24
Staff organisation into teams and units	24
Roles, responsibilities and task allocation	25
Senior management's views of the model	25
Staff views of the model	25
Offender experiences	26
Key issues and themes	27
<b>Case study C</b>	<b>28</b>
Key issues and themes	28
<b>Case study D</b>	<b>30</b>
Local contextual factors	30
Model 'drivers' and aims	30
Offender allocation to staff, teams and units	30
Staff attitudes and experiences of the model	31
Challenges of the model	32
Offender experiences	32
Key issues and themes	32
<b>Case study B</b>	<b>33</b>
Local contextual factors	33
Model 'drivers' and aims	33
Model implementation and product champions	34
Model structure: how staff and offenders were allocated to teams and units	34
Role and task allocation	35
Staff attitudes and experiences of the model	36
Offender experiences	36
Key issues and themes	37
<b>Case study E</b>	<b>38</b>
Key issues and themes	38
Emerging themes across the case management models	38
Recommendations for future practice: continuity of contact	39
<b>3. Case management models and measures of effectiveness</b>	<b>42</b>
Survey results	42
Case management models and HMIP performance measures	43
HMIP results	44
Conclusion	45
<b>4. Conclusions and recommendations</b>	<b>46</b>
Appendix 1 Outline of local contextual factors for each case study area and description of case studies C and E	51
Appendix 2 Survey of case management model results	60
Appendix 3 HMIP Performance measures	80
References	81

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# Executive summary

Case management is a problematic term which is used to describe diverse practices spanning probation, community mental health and social service settings. In this report the term refers to: the staffing structures and organisational processes in place to coordinate and integrate all aspects of community supervision, from the initial offender risk and need assessment, through to programme delivery and the intended completion of the order. The research explored the role of other probation staff and partnership agencies in co-ordinating and delivering community sentences.

## Methods

This research was commissioned in 2001 as a preliminary examination of models, to compare practice and make recommendations for community sentences. A national survey went to all probation areas with questions about the characteristics of local case management arrangements in their area. Responses were received from 31 out of 54 possible areas (prior to the 2001 launch of the National Probation Service). HMIP performance data were also analysed, to assess any links between Case management models and performance, but the main focus of the research was an analysis of five case study areas, representing the three main models identified from the survey (two 'specialist', two 'generic' and one 'hybrid').

In the 15 areas employing specialist models, separate teams carried out pre-sentence report writing, delivered programmes, and managed contact with other staff or agencies for specific types of offenders (e.g. sex offenders; low, medium or high risk of harm and reoffending offenders). In contrast, teams working in the 13 areas using generic models conducted a range of tasks and managed a mixed caseload of offenders in terms of risk of harm and reoffending. In the remaining hybrid models, the degree of task fragmentation and separation of offender management by risk varied according to the local context.

Managers, practitioners and administrative staff were interviewed to understand the staffing structures and organisational procedures for delivering supervision, as well as staff experiences of working within different models. Offenders in each area were also interviewed to examine their experiences and any differential impact on their motivation resulting from different models of management.

## Key findings

- Three models of case management were identified: 'specialist', 'generic' and a 'hybrid' model combining elements of the other two. The models have benefits for different stakeholders – senior management, practitioners and offenders – highlighting the need to develop models which balance these different needs.
- Specialist models allowed senior management to co-ordinate service delivery tightly and target resources at specific offenders and key supervision stages. However, offenders experienced a high degree of task separation and movement between different teams, and so had the least coherent supervision experience.
- Generic models enhanced staff motivation by allowing them to work with a mixed caseload of offenders and have continued contact with the same offenders which enabled them to see the impact of their work. They also provided a more coherent supervision experience for offenders.
- Local differences (in the nature of the area, staff resources, skills and turnover) restricted the degree of specialisation within a model and the possibility of designing one model to 'fit' all probation areas.

- However, whatever model is delivered, several core case management principles enhance offender engagement and all models may therefore need to be refocused and even redesigned taking these principles into account:
  - models need to acknowledge offenders' experiences and needs;
  - continuity of contact with the same case manager and other staff was essential to building confidence and rapport with the offender, particularly during the initial stages of supervision;
  - the greater the level of task separation the more offenders were confused by why they were undertaking different elements of their supervision, particularly where contact with the case manager had been limited;
  - face-to-face contact with a small case management team was beneficial for both staff and offenders; and
  - openness, flexibility and support were key motivating factors for offenders – exemplified by three-way meetings between case managers, practitioners and offenders and where case managers attended initial meetings as offenders moved to new delivery teams.

## Recommendations for future practice

Whatever type of model is in operation, the research indicated several core principles which can improve the ability to engage and motivate the offender. These can be summarised as 'continuity of contact' and carefully managing the transition points between teams and at different stages of supervision to 'minimise a fragmented experience' for offenders.

### The case management team approach

It was rare for one case manager to oversee an offender throughout their entire community sentence. While this is an ideal way of ensuring continuous contact, it is often impractical in reality due to resource issues, staff turnover or the way a model is structured. Continuous contact can, however, be usefully provided by adopting a case management *team* approach, where at least one team member knows what is happening to an offender at each stage and can update other team members. This can help to alleviate the effects of staff turnover, staff shortages and sick absences for offenders by having regular contact with a small team of people who are aware of their circumstances and needs. It can provide the foundations for a consistent, familiar and supportive environment for offenders to learn, be motivated and complete their order.

In case study areas where team working was taking place, it proved to be extremely beneficial for both staff and offenders. Small teams were typically made up of one or two Probation Officers, one or two Probation Service Officers and a case administrator. The roles and responsibilities of all staff were fully developed, rather than the emphasis being on the Probation Officer as the person with sole responsibility for offender progress. Typically:

- Probation Officers focused their efforts on high risk of harm offenders and at key stages of an order such as the risk and need assessment;
- Probation Service Officers (PSOs) conducted day-to-day work with low and medium risk offenders and commissioned interventions;
- administrative staff performed key functions by monitoring attendance, compliance and triggering reviews to help ensure National Standards were met; and
- where team working was effectively developed and offenders had regular face-to-face contact with members of a small case management team they were more open to talking to someone

other than their case manager about practical problems.

In future, teams could be involved in some way from the offender's first meeting at a probation office to the final reporting stages of the order. For example, at least one member of the team could:

- attend and be involved with the initial Pre-Sentence Report meeting, even if written by specialists from a separate team. This would allow the case management team to understand the offending history, needs and rationale for the different interventions recommended during this early stage;
- supervise the offender during the early stages of the order, reinforcing the aims and objectives flagged up during the PSR interview – often unclear to offenders by the time they started supervision;
- attend the first meeting between an offender and another team (such as the Accredited Programme team) or agency (such as basic skills or substance misuse treatment) or statutory body such as social services, to provide continuity during the transition period;
- work with the offender for pre - and post-rehearsal work for these interventions, having a detailed knowledge of what these interventions entail and progress made by the offender; and
- continue to be the human contact point if and when an offender's risk level is reassessed or they are in the final reporting stages of the order (when they would typically report to a different set of staff at a 'reporting' or 'resource' centre); and
- team-work need not be confined to in-house probation staff, but also encompass partnership agencies and other key stakeholders.

For team-work to be effective it is likely to require:

- regular liaison and updating by various team members about offenders;
- small teams, where caseload sizes are manageable enough for teams to have a working knowledge of the offenders;
- co-location of the team in the same office, same building, or regular meetings at a shared location;
- shared and easily accessible information systems;
- clear roles and responsibilities, including how the case manager's role differs from the rest of the team. In a team setting, case managers were typically identified as having 'ultimate' responsibility for offender assessment, progress, enforcement action and overall integration of the order. However, other team members played an active role in the delivering these elements of supervision; and
- colleagues from the programme teams and partnership agencies to attend team meetings to share information about offenders. This would improve the quality of the case management team's knowledge of progress, while offenders received other interventions and had limited contact with the case manager or other team members for several weeks. It would also enhance communication between staff across various teams and agencies at an operational level and help them understand developments in knowledge and issues within other areas of probation work.

Openness, flexibility and a supportive approach were key motivating factors identified by all offenders. This was exemplified in one area where the staff team created an open-door policy, allowing offenders to visit the office for advice in addition to their statutory appointments. Many offenders found this flexibility and support reassuring. This indicates the potential of extending the

role of case management teams to that of 'out of hours' mentor or counsellor.

### Three-way meetings between case managers, practitioners and offenders

Only a few offenders reported having three-way meetings prior to attending Accredited Programmes. Those who did found them very useful in helping to prepare for group work, remind them how the programme would help and clarify what would be expected of them. Three-way meetings provided a vital sense of cohesion in the order for offenders.

### The case manager acting as go-between

In one case study area an officer 'physically' integrated an offender's experience of supervision by offering to attend initial meetings with social services and counsellors. This sense of being escorted and helped between the stages of the order encouraged the offender to attend meetings avoided in the past. While this is not always feasible due to the workload of individual case managers, it highlights some of the ways the case management team approach could evolve.

### Case management 'drivers'

Case management practice has been primarily driven by central 'organisational' needs such as targets to deliver Accredited Programmes and the need to focus Probation Officer resources carefully. The needs of offenders and their responses to different case management structures and processes have not been at the forefront of thinking when models have been designed and implemented. The different ways offenders react and interact with complex and highly fragmented models, compared with a team-based approach, need to be considered in future. Developments need to reflect the 'What Works responsivity' principle, which recognises offenders' different learning styles and the importance of engagement and motivation. This links with one of the nine European Excellence Model criteria – to provide 'a clear focus on the potential needs of customers.' (Home Office, National Probation Directorate, 1998). A case management, organisational structure-in isolation- is unlikely to sustain offenders on their orders.

When designing and implementing a case management model it is important to have:

- a clear understanding among senior management about what the model is intended to achieve and how it is intended to operate;
- strong senior management commitment to the model and skilled implementation;
- 'product champions', often at Senior Probation Officer level, to communicate how the model will work in practice to operational staff;
- staff consultation, across all grades, to ensure a widespread understanding of roles and responsibilities and how all staff will benefit from new ways of working. This is particularly important at Probation Officer level. A lack of commitment from this grade of staff that case management includes the whole organisation working together to manage offenders rather than it being the main responsibility of Probation Officers can make team work difficult to operate; and
- regular reviews of how the model is working in practice to refine roles and responsibilities, sustain commitment to the model and adapt it where necessary.

### The local context

This report should not be viewed as the definitive assessment of the relative effectiveness of case management models, as these findings need to be tested across a wider range of probation areas including urban, rural, different levels of staff turnover and small, medium and high caseloads. It is clear that the local context in which a model operates has a large impact on what type of model is feasible and how successfully it can be implemented. Important local factors include: geography,



availability of staff resources at different grades (scarcity of Probation Officers was a common issue), availability of voluntary and statutory agencies, staff turnover; and caseload size. These factors can particularly restrict the degree of specialisation within a model and the efficacy of designing one model to 'fit' all areas.

## Benefits and disadvantages of models for different groups

Staff and offenders indicated that different models provided benefits and drawbacks for different grades of staff (managers, practitioners and administrators) and offenders, highlighting the challenge of developing models that balance the needs of each group.

### Specialist models

Separating the provision of case management functions across different teams provided advantages for senior management in co-ordinating resources and service delivery. It helped them to:

- target scarce Probation Officer resources on high- risk-of -harm offenders and at certain stages of the supervision process;
- focus resources on priorities (short-and long-term) e.g. targeting throughput of offenders onto Accredited Programmes at the PSR stage;
- monitor delivery of priorities and National Standards, due to enhanced accountability resulting from smaller teams with specific aims; and
- create efficiency gains by allowing staff to concentrate on specific case management functions.

Other staff found the model advantageous because it helped to:

- reduce conflicting work priorities, for example, Probation Officers avoided juggling PSR writing to National Standards' timescales at the same time as supervising offenders;
- clarify roles allowing staff to focus on specific priorities and share goals with other team members;
- promote consistent understanding of roles and responsibilities; and
- develop skills and expertise in particular subjects and types of offenders.

Specialist models also created various drawbacks that were not exclusive to them, but were more apparent during the interviews with staff and offenders in those case study areas:

- separating tasks and responsibilities into discrete teams created resource intensive boundary-management issues. This was particularly apparent as offenders passed between the interchange points of the model, requiring negotiation about when 'responsibility' should be transferred between teams;
- staff became territorial about their specific functions, reducing the flexible sharing of resources across teams and focus on the 'overall' aims of the probation area;
- boundaries created communication barriers, which required common information systems and information-sharing protocols between probation teams and agencies. These can be resource intensive to ensure offender information is regularly shared and up-to-date; and
- separating commissioning and delivery functions created training needs for staff. Case manager 'commissioners' need as clear an understanding of Accredited Programmes (or Offending Behaviour Programmes as they are also known), and other interventions, as

programme tutors and agency staff. Otherwise the potential of post-programme learning and rehearsal is not maximised. This requires comprehensive and regular training updates for case managers and team members.

### Generic models

For senior management these models offered flexibility, particularly where staff resources were limited or spread across a rural, geographically dispersed area making it difficult to restrict staff roles to specific functions.

For operational staff, working with a mixed caseload of offenders and conducting a range of case management functions enhanced staff motivation by:

- avoiding fears about deskilling associated with carrying out one set of tasks;
- allowing staff to see the impact of their work with offenders through regular contact and continued interventions;
- ensuring staff retained a knowledge and overview of the various supervision stages and processes of working with offenders; and
- avoiding the stress associated with the intensive demands of working solely with high-risk-of-harm offenders.

### Offender views

Importantly, the greater the level of task separation and fragmentation in a model the more offenders were confused by the range of different teams and staff they saw at different stages of their supervision. This fragmentation was most apparent in the specialist models which, coupled with the chaotic nature of many offenders' lives, may further reduce the chance of attendance and completion of orders. The case study areas operating specialist models were, however, also metropolitan with higher staff turnover than other areas. This is likely to have had a compounding effect on the fragmented offender experience and these results would need to be tested across a wider number of areas running specialist models with stable staffing levels.

Offenders supervised within specialist models were also less aware of who was overseeing their order and who to contact if they experienced an emotional or practical crisis. Offenders were unanimous about the importance of continuity of contact with the same case manager, particularly during the initial stages of their supervision. They reported being more likely to trust their case manager, address their problems and ask for help if they saw the same person over a period of time – indicating the importance of the case manager as a stable, human link during the order.

It took time for offenders to gain confidence with new case managers and they became easily disillusioned explaining their offending history and problems to new supervising officers. They raised concerns about the potential for inconsistent treatment and deterioration in supervision quality while a new member staff became familiar with their case. Offenders were confused about why they were undertaking key elements of their supervision if they had limited contact with a case manager in the early stages of an order, before being referred onto different practitioners and partnership agencies.

### The future

As this research was being finalised, the creation of National Offender Management Service (NOMS) was announced, with the publication of the Carter report and government response. The new service will ensure a better focus on managing offenders, by putting individual offender management at the centre of a single service, with management throughout the whole of their sentence from prison through to probation. This report is intended to provide initial information and lessons to support them undertake this task.

# 1. Introduction and background to the research

This introductory chapter begins by reviewing why case management has become so important for the National Probation Service, previous case management literature from the fields of mental health and social services, and what, if anything, is already known about case management within the probation context. The purpose of the research and accompanying methodology will then be discussed, as well as identifying the key components of probation case management models – essential for assessing effectiveness. The structure of the rest of the report is outlined at the end of the chapter.

## Case management and the Probation Service: why now?

Since the mid-1990s the Probation Service has been undergoing a process of review and modernisation driven by the need to demonstrate the effectiveness of its interventions, particularly in terms of reducing reoffending to improve public confidence in community sanctions. This review led to the 'What Works' project being commissioned by Her Majesty's Inspectorate of Probation (HMIP) in 1996 to provide guidance to probation areas about the types of offender programmes and management arrangements shown to be effective at reducing reoffending and harm posed to the public (HMIP Chief Probation Officer letter, 1996).

The 'What Works' project culminated in the HMIP report, *Strategies for Effective Offender Supervision* (Underdown, 1998). This report detailed emerging evidence from a number of countries, including the UK, about the programmes and supervision methods showing early signs of reducing reoffending. It identified the foundations of 'Effective Practice' as: service and programme design; offender targeting and assessment; programme delivery; case management; evaluation, evidence and organisational development. It also outlined the key 'What Works' principles, needed to underpin 'effective practice', which stated:

- the higher the risk of reoffending the more intensive and extended the supervision programme needs to be (*the risk principle*);
- programmes which target needs related to offending (known as criminogenic needs) are likely to be more effective (*the need principle*);
- programmes which match staff and offenders' learning styles and engage the active participation of offenders are likely to be more effective (*the responsivity principle*);
- all interventions should take place within an integrated case management framework;
- supervision should include work on accommodation, employment and basic skills intended to reintegrate the offender into the community;
- programmes should be based on equal opportunity principles, being accessible to all groups in society across each probation area and delivered to a consistently high standard; and
- each intervention should be subject to monitoring and evaluation and able to demonstrate its effectiveness in relation to stated objectives.

This report resulted in the launch of the 'Effective Practice Initiative' in June 1998, along with 'The Effective Practice Guide' (Chapman and Hough, 1998) being developed for practitioners and operational managers. Probation areas began to develop a core curriculum of 'Pathfinder' programmes<sup>1</sup> to tackle offending, based on What Works principles, accredited when shown to meet

<sup>1</sup> These are now known as Accredited Programmes, as many have been approved by the Correctional Services' Accreditation Panel.

set criteria. Additionally, a single risk and needs assessment tool, known as the Offender Assessment System (OASys), was developed to provide a consistent and in-depth assessment for both the Prison and Probation Services (Probation Circular, 35/98). This was seen as vital to addressing the underlying causes of offending and targeting interventions for offenders with differential needs in an effective and consistent way, within and across the correctional services.

In addition, the modernisation agenda had three main strands including the 'What Works Strategy'<sup>2</sup> the enforcement agenda with revised National Standards (2000) and the Criminal Justice and Court Services Act (2000). This strategy emphasised the importance of having an overall 'model' to support service delivery (Probation Circular 60/2000), thereby raising the profile of case management as a core element. A simplified version is set out in table 1.1.

This table identifies case management as one of the key building blocks in the effectiveness strategy. Case managers were seen as vital to overseeing and integrating all elements of supervision. By 'seamlessly integrating' the supervision plan and forming the key relationship with the offender, the HMIP reports suggested offenders would engage more fully with their orders (Chapman and Hough, 1998; Underdown, 1998). Also, by systematically assessing offender risk and need, as a key part of any model, Andrews and Bonta (1994) believed resources would be targeted and prioritised towards high-risk of harm and reoffending probationers targeting resources for maximum impact on reoffending rates.

Despite these various studies, little is known about the variation in case management practices across probation areas. This research was commissioned to identify the key components of models and whether there was wide variation between models, in order to make recommendations for future practice. However, this should not be viewed as a definitive assessment of the relative effectiveness of different models. These findings will need to be tested across a wider range of probation areas covering relevant contextual factors such as geographical configuration (urban, rural, mixed), different levels of staff turnover and small, medium and high caseloads before a definitive model, or models, can be recommended.

## A review of the community care literature

### The origins of case management

While knowledge about case management in the probation context is still at a developmental stage, there is a considerable amount of literature available from the mental health and social work fields, where the concept and practice of case management originated. It became the most common management practice in community care from the 1970s in the USA and the late 1980s in the UK (Intagliata, 1992; Rubin, 1992, Holt, 2000).

Case management developed in response to fragmenting service provision, driven partly by the de-institutionalisation of psychiatric care in the US, but also the expansion of specialist provision targeted at specific client needs such as age-related issues, accommodation, drug use and mental health problems. This fragmentation led to the creation of a designated 'case manager' role with specific responsibility for ensuring clients received relevant care and treatment in the community and their progress was monitored. Rothman (1992) argued that cost cutting was also a key driver behind removing clients from hospital settings and the subsequent development of case management. He contended that funds were intended to follow clients back into the community to ensure continued care, but when this funding did not materialise case management became a response to co-ordinating services with fewer resources.

2 This strategy was developed by HMIP, ACOP (the Association of Chief Officers of Probation) and the Home Office's Probation Unit (now the National Probation Directorate serving the National Probation Service).

Table 1.1: The model of National Probation Service provision<sup>3</sup>

<p>Case management</p> <ul style="list-style-type: none"> <li>• Structured assessment</li> <li>• Targeting</li> <li>• Supervision Planning</li> <li>• Risk Management</li> <li>• Co-ordination of Service</li> <li>• Delivery</li> <li>• Motivation</li> <li>• Reinforcement</li> <li>• Application</li> <li>• Surveillance</li> <li>• Compliance</li> <li>• Enforcement</li> <li>• Evaluation</li> </ul>	<p>Offending behaviour programmes</p> <ul style="list-style-type: none"> <li>• Cognitive Skills Foundation Programmes</li> <li>• Programmes targeted on specific offence or risk factors</li> </ul>	<p>Accredited community service<sup>4</sup></p> <ul style="list-style-type: none"> <li>• Pro-social modelling</li> <li>• Targeted placements to reinforce programme learning</li> <li>• Accredited Skill Development</li> <li>• Effective work placements</li> </ul>
	<p>Associated personal factors</p> <ul style="list-style-type: none"> <li>• Substance misuse</li> <li>• Mental health</li> <li>• Relationship problems</li> </ul>	
	<p>Reintegration factors</p> <ul style="list-style-type: none"> <li>• Accommodation</li> <li>• Basic skills</li> <li>• Employment</li> </ul> <p>Budgeting / debt counselling</p>	

### Definitions and models of case management in mental health and social services

While the 'drivers' behind case management are common to mental health and social services, the term does not have a consistent name or definition across or within these fields. It is variously called 'managed care,' 'community-based service' and 'community support' which covers a diverse range of case management practices. Part of the difficulty in researching, analysing and evaluating case management is the lack of clarity and consistency in the way the term is applied.

### Common elements

Despite this diversity, commentators have identified some common elements and the extent to which these are shared in the probation context will be discussed in the next section. A key element in both mental health and social services is the role of case managers in providing a link between clients and services. According to Hasenfield (1993), case managers access, co-ordinate and sometimes directly deliver services to their clients, on an ongoing basis.

This involves case managers, *"moving across the boundaries of agencies, organisations or systems to process or gather client information, to negotiate the transaction of resources on behalf of the client...and to monitor or evaluate the outcome of the services."*

Other common functions have been identified as: assessment, planning, co-ordination, monitoring and evaluation (Arganoff, 1977; Evashwick, 1997; Moxley, 1989; Rose, 1992). However, Caragonne argues (1993) that organisations in different fields often perform and prioritise these functions very differently. Holt (2000) who has written extensively about case management in both

3 Table taken from the *What Works Strategy for the Probation Service* document, produced by the What Works Strategy Group in August 2000 (unpublished).

4 Community Service was renamed Community Punishment in the Criminal Justice and Court Services Act (2000).

community care and the probation setting, concluded that these functions are not exclusive to certain organisations but are adapted depending on their specific priorities. These include the needs of their service users and the relative emphasis placed on users compared with organisational aims.

### Level of personal case manager involvement

Another key difference in the way case management models are structured relates to the role of case managers in service delivery. Heptworth and Larsen (1992) argued that case managers stand on a continuum between the “*simple brokerage of service provision to the personal involvement of the case manager in service delivery.*” On this basis, Levine and Fleming (1985) identified two broad models in social services and mental health:

- ‘generalist’ model, where one individual case manager is responsible for carrying out all aspects of client care; and
- ‘specialist’ model where the client has contact with several different practitioners who deliver a specific set of case management functions.

Ross (1993) believes models are also distinguished by the *type* and *level* of intervention demonstrated by the case manager. He suggests a three-fold typology of intervention based on the number and type of tasks undertaken by case managers: ‘minimal’, ‘coordination’ and ‘comprehensive’. Minimal case management involves assessment, planning and referral (broadly comparable to Levine and Fleming’s specialist model), while comprehensive case management includes a range of additional work such as reassessment and evaluation and directly intervening with the service user (broadly comparable to Levine and Fleming’s generalist model).

### Features of the generalist model

The generalist model emphasises the personal relationship that develops between the case manager and service user over time (Frank and Gunderson, 1990). Also known as the ‘clinical’ model in mental health agencies, where the case manager is seen as an important resource in the assessment and reassessment of a client over time. The service user is believed to benefit from the clarity of the case manager’s role and the continuity of contact with the same person. However, from an organisational perspective, this model demands considerable staff training, experience and staffing levels.

### Features of the specialist model

In the specialist model, assessment and service provision is separated, with case managers commissioning services for clients rather than delivering them. According to Levine and Fleming (1985), this allows practitioners to develop in-depth competencies in specific functions, such as assessment, which can lead to greater efficiency in delivering those tasks and efficiency gains for the organisation. It has the potential to enhance morale as staff can work together and co-ordinate their roles with others. Conversely, the client may find the process confusing and have difficulties relating to a number of service providers, which could hinder their progress. Special effort is therefore required to ensure co-ordination and communication when clients move between different service providers to avoid gaps in provision.

### Evidence for case management effectiveness?

The previous section highlighted that ‘case management’ covers a myriad of definitions and practices. Before considering what is known to date about probation case management it is important to review whether anything is known about the effectiveness of models in the community care setting.

According to Rothman (1992), research to date has not fully tested the effectiveness of different models, due to the lack of clarity about the range of models operating across community care. However, limited evidence suggests certain types of case management may be more effective. Marshall (1996) identified two different models: ‘standard’ (broadly comparable to Levine and Fleming’s specialist model) and ‘assertive community treatment’ (broadly comparable to Levine and

Fleming's generalist model). Standard case management consists of a low-intensity approach, where case managers commission interventions from other agencies, while the assertive model includes a dedicated, multi-disciplinary team of mental health professionals with low patient to staff ratios (of 10:1) and a high level of face-to-face contact. Thirteen, pan-national, randomised controlled trials of 'assertive community treatment' have shown this approach to be beneficial, compared with nine randomised controlled trials for the standard approach, which have produced largely negative findings.

Despite this evidence, Marshall (1996) argues the thrust of community care policy in Britain has focused on 'standard' case management. In Social Services, case managers broker 'tailored' care packages, with social workers removed from clinical duties to act as 'purchasers of care', leaving multi-disciplinary teams in a disrupted state. In mental health a 'care programme approach', similar to 'assertive community treatment', was originally set up for the most severely ill patients who needed a 'key worker' (or case manager) to ensure provision of a needs assessment, written care plan and regular reviews. However, in practice the 'care programme' approach has been substituted for 'standard' case management for all patients.

This highlights that a range of contextual factors impact not only on how case management models are designed to operate, but also how they operate in practice. Caragonne (1983) and Weil (1985) outlined several contextual factors that have an important bearing on whether a model is effective, including:

- organisational size;
- organisational structure;
- locus of funding control for outsourced service provider contracts;
- level of authority of case managers to 'integrate' service delivery;
- the professional and skills composition of staff; and
- the characteristics of the target population.

According to Schwartz *et al.* (1982), the characteristics of the client group are also important as they affect caseload size and the ability to have face-to-face contact with clients and engage in problem prevention rather than crisis management. Further research in the community care setting is needed, with larger sample sizes and clearly comparable models, to provide conclusive evidence about which models are effective.

## Case management in the probation context

Having considered case management 'drivers' in community care it is clear there is substantial overlap with developments in probation. These include the need to deliver results despite resource rationalisation and increasing specialisation in service delivery. However, as Holt (2000) argues, probation case management is also driven by a unique agenda – the need to reduce re-offending within the parameters of high levels of offender compliance and completion rates. Therefore models from other fields cannot necessarily be transferred unaltered into the probation setting.

The community care literature also provides a useful framework for examining the features and components of models in probation; the factors that influence the way models operate; and the information needed to assess whether a model is a successful or not (see Figure 1. 1). These include:

- the organisational context and drivers of case management;
- what the model aims to achieve;

- establishing the core functions of the model;
- the case manager's role;
- defining roles, responsibilities and allocating tasks amongst staff;
- how staff are organised into teams and units within the model;
- how offenders are allocated to staff, teams and units;
- the processes which enable the structural aspects of the model to operate;
- the style of management which enables the model to operate as a coherent entity; and
- defining the outputs and outcomes to measure success or failure.

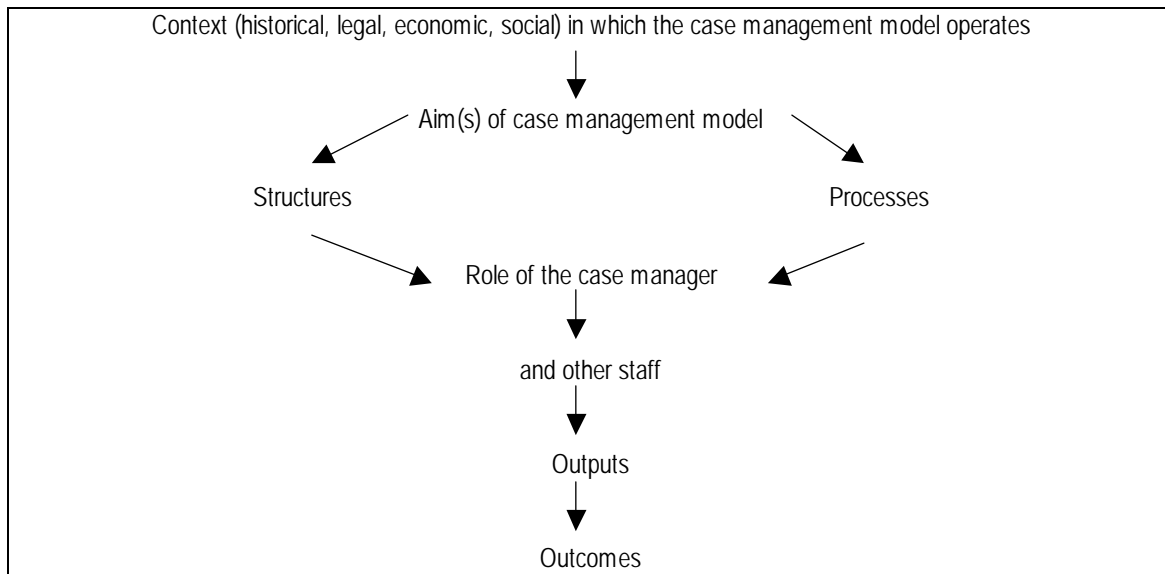
### 'Drivers' of probation case management

Probation case management models do not operate in a vacuum; they are affected by a range of legal, political, social and economic factors influencing the National Probation Service today. Crucially, they shape the way models are structured, how staff are organised, how models operate and what they aim to achieve. These issues were introduced at the beginning of the chapter but to recap they include:

- the history of the organisation;
- how it is funded;
- the 'Effective Practice' and 'What Works' agendas driving developments focused on risk management (principally delivering public protection by reducing risk of harm and reoffending);
- growing specialisation and fragmentation in service delivery;
- shortage of Probation Officer resources;
- Accredited Programme targets (10,000 commencements in 2001/02 and 60,000 by 2003/04);
- offender attendance, completion (70 per cent programme completion rate target) and compliance targets (90 per cent);
- standardised offender assessment using tools such as OASys and OGRS2 (Offender Group Reconviction Scale) to predict re-offending rates; and
- reconviction rates (PSA target reduction rate by five per cent by 2004).



Figure 1.1 Components of a case management model



### Local issues

Local issues are also influential as they enhance or restrict certain types of models due to the geographical configuration of the area (urban, rural) and its affect on communication, transport links and the accessibility of services. The level of economic and social deprivation and the link with the size and profile of the offending population are also important as well as the mixture of skills and experience of the local workforce and its impact on recruitment, retention and staffing levels.

Another influential factor on the structure of probation models was the report of the EQFM Excellence Model<sup>5</sup> to the National Probation Service in 1998. This model was described as “*the glue, which will hold together the performance management framework of the new unified service.*” (Home Office, National Probation Directorate, 1998). It is an evidence-based management approach founded on successful approaches of measuring the quality of processes and systems developed in both the public and private sectors and intended to help probation areas assess and benchmark their planning and performance.

### Research methods

While the ‘drivers’ for probation case management are clear, it is important to reiterate a point made earlier in this chapter, that there is still a lack of evidence about the exact nature of current probation case management practice. A lot has been documented about the various functions and tasks that *should* be performed by case managers (see discussion in section below). However, this is based on general ‘effective practice’ evidence from individual interventions such as programmes. It is not based on evidence about how these elements have been successfully integrated into an effective case management model. As noted earlier in this chapter, the main purpose of this research was exploratory, to gain an understanding and insight into current practices in order to inform future decision-making.

Using survey results from 31 probation areas, three main models were identified, which were classified for research purposes as specialist, generic and hybrid (combining elements of the other two models). Five models were selected as case studies (two specialist, two generic and one hybrid). In each area up to 15 staff of different grades (management, practitioner and administrative) were interviewed to determine the staffing structures and organisational procedures for delivering supervision, as well as staff experiences of different ways of working. Up to ten

5 The EQFM Excellence model is the European Foundation Quality Model, but is more commonly known as the European Excellence Model.

offenders in each area were also interviewed to understand their experiences and attitudes towards different ways of being supervised.

The selection was purposive rather than random, according to a range of key criteria, which included whether:

- the model operated in a rural, urban or mixed area;
- offenders had contact with one case manager or a case management team;
- the degree to which specific or 'specialised' tasks were conducted by different staff;
- how offenders with differing levels of harm and risk of reoffending were managed; and
- whether commissioning and delivering interventions were performed by distinct groups.

In specialist models staff conducted *specific* functions, or tasks, such as solely writing Pre-Sentence Reports (PSRs). Offenders attended a separate team which focused on case management supervision, moved to a different team for Accredited Programme tuition, and visited a range of partnership agencies depending on the individual's needs – such as basic skills, or substance misuse. Case managers worked with *specific* types of offenders such as high-risk- of- harm cases, and case management responsibility for offenders shifted as they moved between teams, particularly if their risk was reassessed (excluding the programmes team and partnership agencies).

In contrast, generic case managers worked with offenders with mixed levels of harm and re-offending, often allocated according to the geographical residence of the probation office and offender. Staff typically conducted a range of different tasks, including writing PSRs, delivering Accredited Programmes and commissioning services for offenders.

Hybrid models, as the name suggests, lay on a continuum between the first two, with the degree of task separation influenced by a range of local contextual factors including the geographical configuration (urban, rural or mixed) and the availability of local skills and staff resources. It is important to note that none of the case study areas demonstrated a 'pure' form of any model, which is unlikely to exist, as the local area context is not a static phenomenon.

Models had to be operating for at least six months to allow staff sufficient experience of the implementation process and working within the model structures and processes. It also allowed offenders to have been supervised for a sufficient period of time to have experienced different elements of the model. Due to the extensive scope of the research it focused on offenders sentenced to Community Rehabilitation Orders and Community Punishment and Rehabilitation Orders, as research had already been conducted into high-risk of harm offenders (Kemshall, H. (2001) and commissioned to evaluate resettlement issues.

It is important to note that this research was conducted during an extensive period of transition for probation areas. In addition, the National Probation Service was created in April 2001, which reduced the number of probation areas from 54 to 42 with some areas amalgamating. Therefore, this research was measuring a changing picture, which is still evolving.

## Components of case management models in probation

Having considered the drivers, it is important to define the key components of probation case management models in order to assess whether models are successful or not. The extent to which these components exist and are clearly documented and understood by staff and offenders in the five case study areas will be considered in the next chapter.

## What the model aims to achieve

A crucial factor when assessing effectiveness is whether a model is given specific and clearly identifiable aims, which staff can easily define. These aims give case managers and all staff a sense of direction about what their work is ultimately trying to achieve. They also determine how the organisation is structured and the kind of roles carried out by different staffing grades and partnership agencies. Models are likely to look and perform very differently according to which aims are prioritised and, as Holt (2000) noted, the emphasis placed on user needs compared with organisational goals.

## Establishing the core model functions

Chapman and Hough (1998) identified several core probation case management functions (see Table 1.2) to *“integrate the core functions of: assessment, programme delivery and community reintegration into an effectively managed supervision plan.”* This provided a framework for probation areas to organise their work, divide functions and allocate roles and tasks among different grades of staff. These core functions relate to broad roles and responsibilities for various grades of staff including case managers, practitioners and administrators. In turn, these are broken down into detailed operational tasks. It is the case manager’s role to co-ordinate and be responsible for the overall delivery of all core functions. However, it is not necessarily feasible for one individual, such as the case manager, to deliver all the component tasks on a day-to-day basis. In practice, this is only likely to be achieved if staff work together to manage offenders.

*Table 1.2 Core Case management functions and key tasks*

Core functions of probation case management	Key tasks
1. Risk management	<ul style="list-style-type: none"> <li>• Use of structured assessment tool regarding risk of harm, reoffending and identification of criminogenic needs.</li> <li>• Assessment of offender motivation.</li> <li>• Knowledge of policy and available interventions.</li> </ul>
2. Supervision planning and review	<ul style="list-style-type: none"> <li>• Compliance planning – ensuring the offender understands the legal requirements of the order and is enabled to meet them.</li> <li>• Defining contact levels.</li> <li>• Reinforcing motivation to participate, change and learn from the programmes (e.g. coaching, rehearsal and practical opportunities to use skills or knowledge acquired).</li> </ul>
3. Referral and allocation of resources	<ul style="list-style-type: none"> <li>• Making appropriate resources and specific interventions available within required deadlines, and preparing the offender to get the best out of the resource or intervention.</li> <li>• Providing offender choice in identifying and selecting community opportunities to reinforce and demonstrate changed behaviour.</li> </ul>
4. Co-ordinating and sequencing work	<ul style="list-style-type: none"> <li>• Implementing the supervision plan and ensuring it is recorded, including timing and sequencing.</li> <li>• Ensuring timely commencement of programmes.</li> <li>• Modelling pro-social behaviour and identifying others who can provide a positive model.</li> <li>• Transferring appropriate information between staff or partner organisations.</li> </ul>

5. Prioritising within caseload	<ul style="list-style-type: none"> <li>Deciding where the allocation of time and resources should be focused within the caseload.</li> </ul>
6. Managing contact, attendance and enforcement	<ul style="list-style-type: none"> <li>Monitoring the supervision plan and ensuring it is recorded.</li> <li>Recording contact levels and reasons for absence.</li> <li>Enforcing the order and taking breach action where appropriate.</li> <li>Ensuring any obstacles to the achievement of the supervision plan are dealt with (e.g. personal crises).</li> </ul>
7. Continuous assessment	<ul style="list-style-type: none"> <li>With a view to enabling community reintegration.</li> </ul>

(Source: Effective Practice Guide, HMIP, Chapman and Hough, 1998)

It is clear from these functions that while probation shares many common elements with community care models, such as assessment, planning, linking and monitoring, it also has specific criminal justice functions. A key difference is the need for the model to identify and define criminogenic (as well as non-criminogenic) risk and needs in order to manage risk of harm and reoffending. Effective service delivery is based on translating offender needs into supervision plan objectives and motivating them to comply with and complete their order. Criminal justice probation models also have a unique 'service user' group who have not voluntarily requested these interventions, placing an additional aim and challenge on the model.

### Defining the case manager's role

When evaluating a model it is important to identify any characteristics and functions that distinguish the case manager from other staff. This is important so that staff and offenders can identify case managers, as they are intended to be the offender's key contact. In general terms the case manager's role is to ensure the delivery and *integration* all elements of offender supervision. They are also responsible for ensuring the elements are sequenced, co-ordinated and integrated to provide the offender with a coherent experience of their order. The case manager is identifiable as the person who has '*ultimate responsibility*' for initially assessing the offender, monitoring progress and for conducting any enforcement action. Key tasks are delegated to other staff but the case manager has final accountability for any decisions taken. Consequently, only one person is responsible for enforcing the order at any given time, though this person may change during the course of the order.

Holt (2000) argues that a key distinction needs to be made between the case manager as an administrative agent co-ordinating delivery and their role as the *human link* in the supervision process. As Chapman and Hough (1998) highlighted, they need to form the key relationship with the offender to '*embody the values, authority and integrity of the supervision process.*' In this way they can motivate offenders by instilling coherence and purpose to the supervision and setting an example of 'pro-social' respect, honesty and reliability when interacting with others (Trotter, 1993). Case managers need to engage with offenders by encouraging them to actively participate in setting their supervision objectives. This requires case managers to have a detailed knowledge of offender Behaviour Programmes and other interventions (such as ETE<sup>6</sup>) content, learning aims and methods so that they can reinforce and apply this learning with offenders.

### Brokers or providers?

The probation service, like the community care field, had a tradition of working on a one-to-one basis with offenders, with case managers (or key workers) providing both interventions and support. Today case managers are broadly divided into 'brokers' of services and 'providers' of services, due to the specialisation and fragmentation in service delivery. The rationale for the split is to concentrate resources at key points of the supervision process, enabling staff to specialise on key tasks, such as assessment, providing the best quality of service in the most efficient way.

6 ETE stands for Education, Training and Employment

Like the community care models, the probation broker conducts the initial assessment and draws up the supervision plan then refers the offender to other probation colleagues to deliver programmes and to voluntary or statutory agencies for other interventions. The broker conducts enforcement action and may be involved with reviewing and monitoring progress. This is a 'linking' role, where the key influence is ensuring offenders have 'access' to the right services. This clear division between broker and provider case managers may be more feasible in metropolitan areas where there may be a greater supply and easier geographical access to voluntary and statutory agencies. Provider case managers, in contrast, deliver services directly to offenders including group work, one-to-one work as well as any non-criminogenic advice on issues such as accommodation, training or health. In practice, case managers often lie on a continuum between pure broker at one end and pure providers at the other. As part of NOMS, offender managers may have a greater role in identifying gaps in resources and purchasing opportunities to enhance offender supervision.

### Defining roles, responsibilities and allocating tasks amongst staff

A gap in the literature from the mental health setting is that models operate along various dimensions depending on the grade of different staff. Staff conduct different tasks according to whether they are managers, practitioners or administrators and whether they are organised into teams and/or units. Offenders are likely to have different experiences of case management depending on their individual risk and needs, which may also affect whether they are managed by an individual or a team.

Having already identified the key roles and responsibilities of case managers, it is important to assess the demarcation of other tasks amongst practitioners and administrators across different models to see if it impacts on staff and offender experiences. Evidence from a case management seminar organised by the Research Development and Statistics Directorate and the National Probation Directorate at the Home Office in March 2001 suggested a great deal of overlap between the tasks conducted by Probation Officers and Probation Service Officers in some areas. The only difference was that the former predominantly worked with high-risk-of-harm and recidivist offenders and latter with lower-risk offenders. When analysing the case study areas it is important to assess how commonly staff resources are utilised in this way and the level of demarcation between administrative staff and Probation Service Officers and between Probation Service Officers and Probation Officers.

Some areas are maximising the work undertaken by administrative staff *'by turning them into part administrative and part Probation Service Officer posts.'* (Taylor and Gast, 2000). Administrative staff are prompting case reviews and providing timely enforcement and monitoring information to case managers. This reinforces the sense that every member of staff is contributing to an integrated case management approach. Reception staff are also considered crucial providing the initial contact with offenders as they arrive at the probation office and the opportunity to initiate human contact and rapport with offenders.

### Staff organisation into team and unit structures

As Taylor and Gast (2000) commented, *"Case management is not just the responsibility of the individual case manager, it is the responsibility of the whole service."* The degree of task sharing amongst staff is likely to be influenced by whether case management 'team' structures exist in a model. Some team structures are known as 'trio-teams' where a Probation Officer, Probation Service Officer and Administrators work together to manage offenders, having individual responsibility for core tasks but sharing others.

This is likely to work with varying degrees of success depending on the culture of the probation office and the willingness of senior grades to share roles with other staff. Teams may operate in a 'hierarchical' or 'flat' way. In hierarchical structures, tasks are likely to be clearly demarcated amongst staff with little or no overlap, while in flat structures staff of all grades may have sole responsibility for certain tasks but share the others. Case management teams can provide flexibility during periods of staff absence or shortages, enabling more than one person to know what is happening to an offender and offer a sense of common purpose to staff of all grades.

## The processes which enable the structural aspects of the model to operate

Model processes are the policies, protocols, customs and practices that enable case management model structures to function on a day-to-day basis. They determine which case manager, team or unit manages offenders with different risk and needs at certain stages of the order and when they are transferred. Processes are the glue that bind the core case management functions, structures and staff together to deliver supervision to offenders. How effectively these protocols and policies are communicated will have an impact on how well the model works in practice.

Some key protocols and policies include:

- communication – how and when information is exchanged between different teams and units, and partnership agencies about offenders;
- the rules for managing enforcement action;
- how resources are allocated and prioritised amongst different types of offenders;
- how offenders with different risk of harm and reoffending levels are managed (complexity of rules and structures);
- how offenders are allocated to case managers, teams and units;
- minimum and maximum caseloads according to different risk and offender needs (how complex the guidance is and how well it works in practice); and
- how information about staff roles and responsibilities and tasks are communicated and delegated among staff within teams and across units.

## The style of management which enables the model to operate as a coherent entity

Commentators Taylor and Gast (2000), working within the probation arena, have placed a great deal of emphasis on the importance of management style for any case management model. Management style influences whether there is effective communication about why the model is structured in a particular way. Without senior managers communicating to staff the 'what, how and why' of a model, they believe, it will be difficult to achieve its overarching aims.

This requires leadership, delegation and collaboration from senior managers, as well as close staff involvement in giving direction and support to case management teams. Clear strategies need to be outlined and staff need some delegated authority when implementing the model. Taylor and (2000) believe it facilitates more confident staff who demonstrate greater ability to take initiative. Senior managers empower by giving direction, support, knowledge and resources through their leadership. Leadership is also required to instill an ethos of staff working together and that it is not feasible, or necessarily desirable, for one person (the Probation Officer, case manager) to provide all aspects of supervision. However, delegation of roles needs to be transparent and consistently applied, otherwise staff may feel they are being unfairly treated and lacking the opportunities open to equivalent grades.

Policies need to be in place to ensure a reliable and regular exchange of information between key stakeholders such as offenders, the courts and partnership agencies, but also between different parts of the probation organisation. This includes case management and Offending Behaviour Programme teams, to ensure offender progress is clearly monitored and all staff are aware of new policies and protocols.

## Model outputs and outcomes

Output and outcome measurement determines whether sentence implementation is effective. Outputs are defined in terms of the immediate result of interventions with offenders such as compliance and completion of an order. Outcomes, in contrast, relate to the longer-term impact of the supervision such as changes in offender behaviour. One outcome of community supervision

would be an offender committing fewer or less serious offences than would be expected based on their previous offending history, attitudes and social circumstances, as well as posing a less serious risk of harm to the public (Chapman and Hough, 1998). To measure outputs and outcomes it is important to set clear objectives about what offenders are expected to achieve during supervision, what staff are expected to contribute and how the case management model can contribute to these desired outcomes.

This last point highlights the importance of conducting this preliminary probation research, to develop the evidence-base about which case management components currently exist, but also which elements work well in combination – to be tested in future research.

## Outline of the report

Chapter 2 reviews the case study areas, describing the different models and assessing how staff and offenders relate to them. Chapter 3 examines whether there is a relationship between probation models and HMIP National Standards data. It also provides results from a survey of 31 probation areas outlining the prevalence of different models and any associated benefits and disadvantages. Finally, Chapter 4 summarises the findings, highlighting best practice and makes recommendations for future research and practice.





## Offender allocation to staff, teams and units

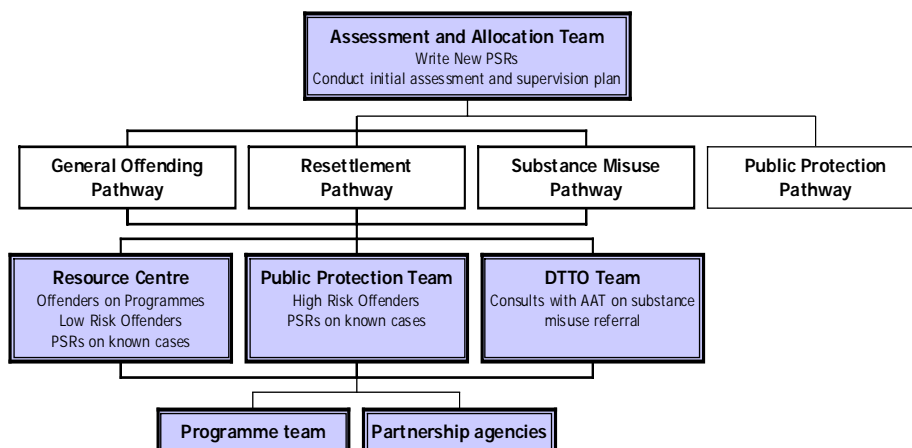
This case study most closely represented a specialist model because it:

- grouped staff into teams with specific and discrete functions;
- allocated offenders into teams according risk and need;
- explicitly separated case management functions into 'brokering', including, offender assessment and allocation, supervision planning, referral and review; and
- 'delivery' – provided Accredited Offender Behaviour Programmes, basic skills and substance misuse counselling and/or treatment (see figure 2.2).

## Staff organisation into teams and units

- Pre-Sentence Reports were written by the *Assessment and Allocation Team*, who also conducted the initial risk and needs assessment before allocating offenders to be case managed by either the Public Protection or General Offending Team;
- the Public Protection Team (PPT) managed high- risk-of-harm offenders, such as domestic violence, racially motivated and sex offenders;
- the General Offending Team (GOT) managed offenders with low and medium-risk-of-harm, and low, medium or high-risk-of reoffending;
- the General Offending Team, the biggest team working with around 200 offenders, case managed offenders attending Accredited Offender Behaviour Programmes, which were delivered by a separate *Programmes Team (PT)*;
- staff teams were made up of: a Probation Officer, Probation Service Officer, and an administrative officer (known as the trio system) to encourage a 'team' rather than 'individual' approach to managing offenders; and
- offenders could be reallocated between the Public Protection and General Offending team depending on reassessment of risk, criminogenic needs and supervision progress.

Figure 2.2 Case study area: A



## Roles, responsibilities and task allocation

Furthermore, in case study A, staff had clearly defined roles and responsibilities. During the first 12 weeks of the order the Probation Officer case manager undertook initial objective setting, supervision planning, pre-programme preparation and referral work to the Programmes Team and partnership agencies. Offenders were then transferred to a Probation Service Officer who undertook day-to-day case management work until the end of the order. Ultimate case management responsibility for compliance and enforcement, however, remained with the Probation Officer, though this transferred when offenders passed from the Public Protection to the General Offending team.

Probation Officer case management input was concentrated on key tasks rather than dispersed evenly throughout the order in accordance with the 'What Works' principle of 'dosage'. As one senior manager stated, *"It is their (the Probation Officer's) job to input into the risk and need assessments and reviews, troubleshoot and pull the work together. But if things are running smoothly they should delegate to Probation Service Officers."*

## Senior management's view of the model

Staff of different grades (managers, practitioners and administrators) and offenders were interviewed to assess whether they identified the same benefits and drawbacks of working within or being supervised according to a particular model.

Separating case management functions across different teams provided benefits to senior managers who viewed the model as a positive development, by allowing:

- greater targeting of scarce Probation Officer resources on high-risk-of-harm offenders and at key supervision stages (such as assessment, supervision planning and enforcement); and
- greater focus on specific priorities with small, dedicated and accountable staff teams focusing on delivering Accredited Offender Behaviour Programme targets; and
- improved staff morale.

## Staff views of the model

Practitioners identified the benefits of working with a specialist model as:

- clarifying roles and responsibilities;
- sharing workloads within teams, with greater PSO and administrator involvement with offenders; and
- reducing conflicting work priorities, by separating PSR writing from case management responsibilities. One Probation Officer commented, *"I think the model works quite well and things seem a lot easier. We used to have our normal caseload and then have to write ten PSRs a month... Staff feel more relaxed because a lot of what caused stress before was writing PSRs to National Standards' timescales... which meant a lot of other work had to be pushed back."*

However, the model did not always operate as intended, or in an entirely consistent way across all teams and for offenders of all risks and needs.

- Probation Officer shortages meant Probation Service Officers undertook supervision and enforcement action with low and medium-risk-of-harm cases at an earlier stage of supervision than originally planned.

- The role of Probation Service Officers and administrative staff had been more widely embraced in the General Offending than in the Public Protection team. Senior managers noted that a cultural shift was still needed in some teams to recognise, *“that administrators are not working to support an individual Probation officer, but are working to support the management of the case.”*
- Staff in the Public Protection team had least ownership of the model. One member of staff noted, *“The Public Protection team still works in a very one to one way with offenders. I don’t think we really work according to the case management model at all...”*
- Staff did not consider high-risk-of-harm offenders suitable for a team case management approach, or referral to multiple agencies, due to their chaotic lives.
- Probation Officers were reticent to delegate tasks and refer high-risk-of-harm offenders to other members of the team or partnerships due to concerns about personal accountability, *“... You know that if anything goes wrong it is down to you. You have to cover yourself and make sure things get done. Sometimes the best way to ensure that something happens is to do it yourself.”*
- However, senior managers were optimistic this view would change with the introduction of multi-agency risk panels, which would require staff to share information and jointly work with other agencies to manage high-risk-of-harm offenders.
- Model implementation was hampered by a lack of staff resources and high turnover at Senior Probation Officer level. A third left at the point of implementation, which senior managers believe affected the speed and extent to which some teams adopted the model, *“...Some of the working together may not be as strong as if those senior managers had remained in post...we therefore haven’t always resolved policies at a local level.”*
- One administrator highlighted, ‘Not being fully staffed is holding back the model as we can’t effectively work in the trio-system<sup>7</sup>.’

The specialist model also created various additional challenges:

- the split into specialist teams was linked with less varied work, with one PSR writer stating, *“It feels basically as if you are working on a production line. It is very mundane.”*
- report writers felt isolated from the impact of their work with offenders, *“ I suppose we are the most critical part of the model, allocating offenders based on risk, but I don’t feel it’s a critical job, because I don’t find out what impact I have on the offender.”*
- separating tasks and responsibilities into discrete teams created boundary-transition issues about when responsibility for offenders passed between the teams, for example who was responsible for offender breach reports;
- physical team boundaries created information-sharing challenges to ensure information was recorded and exchanged in a timely and consistent way; and
- the model needed to be adapted during high caseloads or staff shortages.

## Offender experiences

Like the other case study areas, the main driver behind introducing the model was shortage of Probation Officers and the need to increase throughput onto Accredited Programmes. The impact

<sup>7</sup> This is the name chosen in the area for case management teams made up of one Probation Officer; 1 Probation Service Officer and 1 administrator.

of the fragmented model design on offender experiences and engagement with the case management process were not considered when it was designed.

### Continuity of case manager contact

Offenders indicated the importance of working with the same Probation Officer, who they knew and trusted, throughout their order. The continuity of the human contact allowed offenders to develop a trusting relationship with their supervising officer, which in turn allowed them to talk openly about personal issues and ask for help with criminogenic needs. Offenders reported taking time to gain confidence with new members of staff and expressed fatigue at repeatedly having to explain their problems to someone new. They were also concerned about differential treatment and that new members of staff would take time to address the real issues while they got to grips with their case.

*“I didn’t really like it because you start to trust someone to talk to and tell them your problems...and the next minute they are leaving and you have got someone totally different and you have to start all over again. This has happened about five times.”*

### Case management fragmentation and crisis management

Offenders who had experienced a number of changes in their Probation Officer (case manager) were less sure about who to contact if they experienced a personal or a practical crisis. This may have been compounded by high staff turnover, common to large probation areas, as well as the degree of fragmentation in the model. As one offender commented, *“I wouldn’t know who to turn to, there have been so many that I wouldn’t know who to contact. The ones I saw at the start, I can’t remember their names and I didn’t see them that often anyway.”*

This confusion was also true of offenders who had experienced a number of referrals between practitioners and partnership agencies, particularly where initial contact with the case manager had been limited. As one offender summed up, *“When I first came I think that I saw three different people, the one down the road who done the (...Pre-Sentence...) report, then I came in and saw another chap, then I came back and I saw another chap. I didn’t have a Probation Officer as such because I started this course after a couple of weeks, I didn’t get a probation person until I finished the course.”*

However, most offenders were positive that their case managers were approachable, gave them enough time in supervisions to address their problems and to raise issues they needed help with.

## Key issues and themes – case study A

### Model driver and aims

- This is the name chosen in the area for case management teams made up of one Probation Officer; one Probation Service Officer and one administrator. As with all the other case study areas – model development was driven by resource issues due to a shortage of POs as well as Accredited Programme targets, rather than the aim of finding the most effective way of motivating and engaging offenders.

### Specialist model design

- Allowed senior managers greater ability to monitor delivery of key priorities but led to low morale for other staff grades, e.g. POs solely writing PSRs did not see the impact of their work with offenders due to loss of continuous contact.
- However, this also led to a sense of deskilling, as staff focused on specific tasks they lost an overview of the detail of offender interventions.
- Created substantial boundary-transition issues – regarding information exchange and when responsibility for offenders shifted between teams.
- Separating brokering and delivery functions created additional training needs for case

managers, who need to be informed and updated about the content of different Accredited Programmes, to maximise preparation and rehearsal of offender learning.

#### Consistency of model application to all teams

- High-risk-of harm case managers still retained many delivery functions, and a one-to-one rather than team approach, believing high-risk-of-harm offenders were too chaotic to deal with interventions from lots of different individuals and teams.
- PO case managers of high-risk-of-harm cases were reticent to delegate tasks to other members of staff concerned about the seriousness of repercussions if these tasks were not carried out properly with this group.
- This led Public Protection team POs to be viewed as having a higher status than POs in other teams.
- There was therefore evidence of some resistance to a team approach by these Probation Officers.

#### Offender experience of fragmentation

- Task and role separation created a highly fragmented supervision experience for offenders,
- Separating PSR writing from the case manager caused confusion as offenders were often confused why they were undertaking elements of supervision at their first case management meeting.
- Pre-programme preparation suffered if initial contact with a case manager was limited before attending the programme and if they had a different case manager for post-programme rehearsal work.
- Staff turnover exacerbated the fragmented specialist case management experience for offenders.

## Case study C

This case study featured a specialist model introduced in 2000 in one team (made up of one Senior Probation Officer, nine Probation Officers, three Probation Service Officers and three administrative staff) in a medium-sized city probation office. The other office team continued to operate along Generic lines (see Appendix 1 for more details about the model).

### Key issues and themes – case study C

#### Model drivers and aims

- Like case study A, the main driver for introducing the model was a shortage of Probation Officers and the need to prioritise resources for high-risk-of-harm offenders.

#### Specialist model design

- Unlike case study A, this model did not have a separate PSR writing team, though teams had dedicated PSR writers in recognition of conflict between report writing and case supervision.
- The design of this model was more complex than case study A in terms of the interplay between the supervision menu allocation and intervention system and maximum caseloads.
- Due to this complexity there appeared to be a lack of clarity amongst some staff about how to apply these different elements to allocate offenders and select the appropriate interventions.
- This highlights the need for a model to be clear and straightforward enough for all staff to follow, including staff recruited some time after the model has been introduced.
- Staff were in favour of maximum caseloads but they were difficult to sustain in practice.

### Task sharing

- POs and PSOs worked closely in small teams to manage offenders, freeing up SPO time to focus on performance monitoring.
- Administrators reported greater fulfilment with their enhanced role, however, the importance of physical co-location, and involvement with managing and updating offender files were highlighted as important factors in aiding acceptance by other staff grades.
- Improvements in enforcement performance were attributed, by managers, to the enhanced administrator role in managing offender attendance.

### Offender experiences

- Potentially fragmented offender experiences caused by the separation of specialist model functions were reduced by a case manager physically bridging this boundary transition and guiding the offender to the next supervision intervention phase by accompanying them to their first meeting.
- Three-way meetings helped to alleviate offender concerns about what new people would be like, allowed them to ask questions and know what was expected of them, with the support of having someone familiar with them.
- Offenders at the reporting stage of their order also needed some degree of sustained contact, otherwise they did not know who to contact for help.

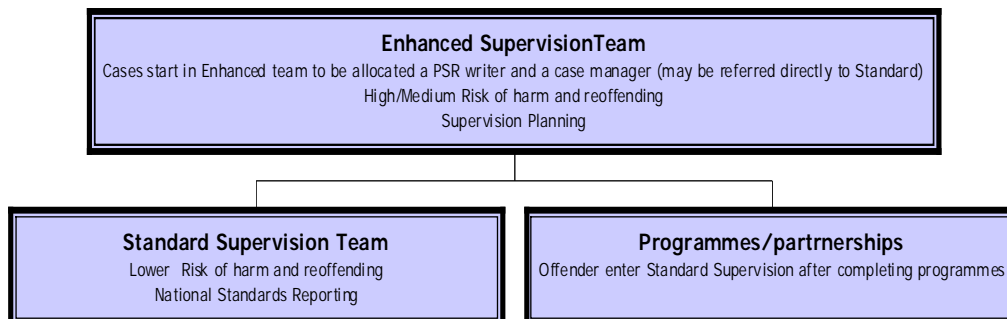
### Phases of implementation

- The initial focus of implementation was on structures and procedures in the model, not the impact on offender engagement.
- Case management models and structures in isolation were not sufficient to ensure the relationship between case managers and offenders was of a high quality and would motivate the offender to comply with and attend an order.

### Evidence of effectiveness

- There were concerns about extending the specialist model, to case study C, to a rural, geographically disbursed area where the staffing levels and transport links to partnership agencies would not be compatible with this approach;
- The generic model, in case study C, was performing as well in terms of attendance and completion rates.

Figure 2.3 Case study area D



## Case study D

### Local contextual factors

The third case study operated a generic-specialist Hybrid model:

- in a small, largely rural area with several large towns;
- areas of deprivation; and
- undeveloped rural transport links (see Appendix 1 for more information).

### Model 'drivers' and aims

Like the previous areas, the model was initially introduced (in one office in 1997) as a pragmatic way of dealing with higher caseloads and fewer Probation Officers. Rolled out county-wide in early 2000, key aims were to:

- standardise and enhance the Probation Assistant role (known as Probation Service Officers in other areas);
- bring a consistent approach to risk and needs across the county; and
- add 'integrity' to the case management role.

### Offender allocation to staff, teams and units

A less differentiated model than case studies A and C, offenders were allocated to one of two teams based on risk and needs (see Appendix 1 for more information on case study C):

- **Enhanced Supervision Pathway**, with Probation Officer, case managers managing offenders with high and medium risk of harm and reoffending, delivering high levels of contact, addressing offending behaviour and substance misuse;
- **Standard Supervision Pathway**, managing lower risk of harm and reoffending cases, focused on employment and training needs (including basic skills), accommodation, budgeting advice; restriction of liberty and referral to other community organisations;
- offenders in Enhanced Supervision were considered for transfer to Standard Supervision, at each review stage, when criminogenic needs requiring one-to-one work had been satisfactorily addressed, or motivation to change was clear.

### Defining roles, responsibilities and allocating tasks amongst staff

The model was hybrid, with staff having less clearly differentiated roles than case studies A and C, for example:

- all Probation Officers wrote Pre Sentence Reports and conducted an initial risk assessment, though the PSR writer did not necessarily become the case manager;
- unlike other case study areas, case managers also carried out court duty functions and shared responsibilities for resettlement cases; however,
- offender risk levels were allocated in a specialist way with different team members working with offenders from different risk groups; and

- most cases initially commenced in the Enhanced Supervision team,

In the Standard Supervision team:

- Probation Officer case managers initially co-ordinated the order, but Probation Assistants (known as Probation Service Officers in some areas) delivered the order on a day-to-day basis;
- they maintained contact with the offender, referred them to community and partnership agencies, provided community reintegration help and advised the case manager of any reassessment or enforcement issues;
- team-working was well developed with information widely shared about cases. A Probation Assistant highlighted this fact, *"We can talk about any problems with the offenders easily. In the team we communicate and compare notes."*

## Staff attitudes and experiences of the model

### Senior manager views

Senior managers identified a range of benefits including:

- development of team-working amongst administrative assistants, Probation Assistants and Probation Officers;
- improved targeting due to systematic policies and guidelines for dealing with offenders;
- an enhanced role for Probation Assistants; and
- effective communication facilitated by use of CRAMS (Case Recording and Monitoring System) by all teams to communicate case progress.

### Operational staff experiences of the model

- Staff morale in the Standard Supervision Pathway was low, with less sense of identity than other parts of the model, because they felt they were seen as a spare resource when problems affected other parts of the model.
- The work of Probation Assistants in the Enhanced Supervision Unit was relatively new and undefined. They conducted home visits and some core work, but were partly a shared resource with the Standard Supervision team. As one Probation Officer said, *"It is more of a 'backup role'...as an extra person, with a role that can be developed however we want really."*
- Other staff reported being unhappy with the split between the broker and provider roles and the degree of isolation from offenders.
- While the enhanced case administrator role was more fulfilling with staff reporting greater understanding of the supervision process, the CRAMS inputting role had not completely translated into closer working relations with officers, *"It would be nice if we were working more closely together with the officers, and to know what your officer is doing a bit more."*
- Case files were not located in the administrators' office, which was seen as a barrier to sharing case information and fully effective team working.



## Challenges of the model

- Geography and staffing levels affected the consistent delivery of the model in rural areas due to undeveloped transport links and the availability of partnerships.
- A key issue for future development was the under-utilisation of the Standard Supervision Team.
- Estimates from the area's management data, suggested 40 per cent of offenders should be allocated directly to Standard Supervision, whereas the figure was closer to 18 per cent in 2001. There was a reluctance to assess offenders as low risk of harm at the beginning of the order, exacerbated during the order when staff did not have the time or possibly inclination to conduct offender reviews required for transfers. One Probation Officer commented, *"I have had problems in terms of actually transferring people into Standard [Standard Supervision Pathway] in the past, the PO who is in charge of Standard has quite a lot of power...to refuse to take cases."*
- Case transfer issues were to be addressed by: more consistent assessment at the initial supervision and allocation stage; removing the obstacle of outstanding breaches restricting transfer; and regular team 'amnesty' days.

## Offender experiences

Three out of a possible ten offenders attended the interviews in this area and therefore conclusions about experience of the model are limited. However, they did provide some feedback on their supervision experience:

- they preferred seeing the same person to avoid covering the same background issues about themselves; and
- they either couldn't describe, or couldn't remember, their supervision plan objectives. This was true of offenders in most areas and indicates the need to fully engage offenders in the objective setting process. This is a common, future development issue.

### Key issues and themes – case study D

#### Model drivers and aims

- Like case studies A and C, the model in case study D was initially introduced as a pragmatic way of dealing with higher caseloads and fewer Probation Officers.
- Once rolled out area-wide the model was designed to standardise and enhance the Probation Assistant and administrator role – again a common goal.
- However, it also explicitly aimed to bring 'integrity' to the case management role, acknowledging, that the increased emphasis on Accredited programmes had reduced the status of the case managers role.

#### Generic-specialist model

- A less differentiated model than A and C, PO Case managers retained PSR writing and court duty responsibilities, thereby having a broader range of functions than case managers in A and C and seeing offenders at an early stage in their probation experience.
- However, offender risk levels were allocated in a specialist way with different team members working with offenders from different risk groups.

#### Allocation of offenders to staff teams and units

- Probation Officers still predominantly managed cases in Enhanced Supervision, with

Probation Assistants seen as a fall-back resource.

- Morale in the Standard Supervision Pathway was low, with less sense of identity than other parts of the model, seen as floating flexible resource, highlighting the challenge of conveying a sense of purpose and equality to all staff teams and units within a case management model.
- Boundary management issues were apparent between Enhanced and Standard Supervision with Probation Officers reluctant to reassess risk levels as these reduced and transfer cases on, which suggests the team-working approach and prioritisation of risk had not be fully accepted.
- However, a range of suggestions such as amnesty days and regular case reviews proposed to mitigate against Specialist team boundaries.

#### Information sharing and co-location

- Effective team communication was facilitated by widespread use of CRAMS to (Case Recording and Monitoring System) to communicate case progress.
- If case files were not located in the administrators' or central office, this was seen as a barrier to sharing case information and fully effective team working.

#### Impact of local context on model

- Geography and staffing levels affected the consistent delivery of the model in rural areas due to undeveloped transport links and partnership availability.

#### Offender experiences

- Either couldn't describe, or couldn't remember, their supervision plan objectives. This was true of offenders in most areas and indicates the need to fully engage offenders in the objective setting process. This is a common, future development issue.

## Case study B

Having focused on the specialist and hybrid models the final part of this chapter will assess case study B, a mainly generic model, with some semi-specialist staff roles.

### Local contextual factors

This area was:

- a highly dispersed rural area, with pockets of deprivation, high seasonal unemployment and a small minority ethnic population;
- one where staff retention had been relatively stable without the acute shortage of Probation Officers experienced by other areas; and
- One of the smaller case study areas where caseloads were below the national average (Probation Statistics, 2002).

### Model 'drivers' and aims

Of all the case study areas, this model was the most well established. A poor inspection led to a 'rapid' and 'radical' review of service delivery and the new model was introduced in April 1997. The aims of the model were to:

- deliver a high-quality service amid shrinking resources;

- target resources more consistently and effectively;
- develop a team-based approach to managing offenders;
- achieve workload equity between units; and
- make use of available expertise amongst partnership organisations.

## Model implementation and product champions

A defining feature of this model was the personal responsibility taken by the Chief Officer, as a 'product champion,' ensuring all staff understood the rationale for the team-based, (or trio<sup>8</sup>) approach. This generated enthusiasm and an understanding of change amongst staff of all grades, still apparent four years later. A sense of pride was also instilled by a clear understanding of senior management's expectations. A Probation Officer recalled, *"The Chief wanted 100 per cent performance and wanted us to have a Rolls Royce mentality."*

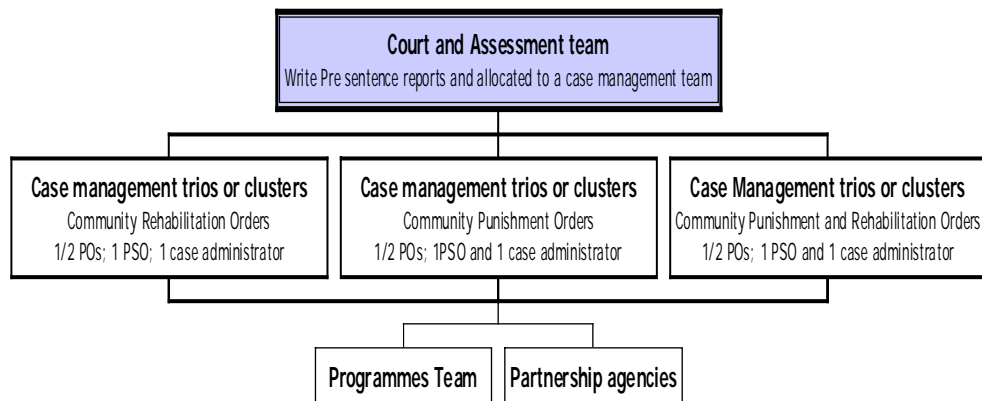
This achievement was partly attributable to the size of the probation area, which allowed the Chief Officer to communicate a consistent message about the model to all staff en masse. A Probation Officer noted, *"There are only 100 staff from the chief to the cleaner. The chief knew everybody and I think that made a big difference."* As in case study A, Senior Probation Officer grades were seen as crucial to the success of the model by bridging the gap between the strategic idea and its operational implementation. A senior manager noted this helped ensure that staff had a broad understanding of the model and a sense of *"hearts and minds' ownership of the model, rather than management imposition."*

## Model structure: how staff and offenders were allocated to teams and units

- A core element of the model was the grouping of staff into small teams, known as 'trios' or 'quads', consisting of one or two Probation Officers, one Probation Service Officer and a case administrator (see figure 2.3).
- The team was based around inter-locking but complimentary roles, with an 'enhanced' case administrator role, key to helping offenders progress through their order: "The aim was to bring about a cultural shift and move away from Probation Officers' feeling that they were responsible for every element of an offender's order and its success or failure." (Middle manager).
- A key feature of the trio teams was the flat, rather than hierarchical nature, of staff roles. Although each member of staff had defined responsibilities there was a great deal of role flexibility, based on an ethos of delivering supervision rather than which staff grade conducted a particular task.

<sup>8</sup> As mentioned previously in the report, the 'trio' approach related to case management team made up of one Probation Officer, One Probation Service Officer and a case administrator.

Figure 2.4 Case study area: B



### Role and task allocation

- Senior Probation Officers, known as ‘Probation Managers’, were responsible for managing staff, specialist functions and specific geographical areas.
- Probation Officer case managers were responsible for: risk and need assessments; supervision planning; prioritising work; contracting and liaising with partnerships; motivating offenders; reviewing progress; conducting serious offender work and enforcing orders.
- Probation Officers decided the necessary interventions with offenders but delegated casework with low and medium-risk-of-harm cases to Probation Service Officers. Probation Officers had oversight of Probation Service Officer work, but the latter had the major day-to-day contact with offenders.
- Probation Service Officers were responsible for specific tasks, including motivational work with offenders; managing reporting centres and enforcement issues – with clear responsibility for helping to deliver supervision plans.
- Crucially, case administrators held a variety of roles including overseeing the unit’s workload; maintaining information systems including databases and offender tracking systems; liaising with programme and partnership providers and helping evaluate the effectiveness of interventions. In addition, case administrators had face-to-face contact with offenders and were encouraged to be proactive in monitoring attendance, contact and case progress.
- They were also the reception staff, and so the first point of human contact for offenders entering the probation office. There were no physical barriers between staff and offenders when they arrived at the office. This created a greater sense of integration between the organisation and offender than other areas where glass screens isolated and segregated offenders from reception staff.

With the introduction of a team-based approach, case study B moved from a ‘purely’ generic model to a one structured slightly more around different case management functions. The teams included:

- Court and Assessment; wrote PSRs and allocated offenders to a case management team depending on the type of community order;
- Case management; allocation to a case manager was largely determined by geography and the therefore remained mainly generic, with teams managing a mixed risk and need caseload,

- Programmes (which included sex offender units) and Resettlement; delivered substance misuse, basic skills work and other interventions.

Senior management were keen to avoid what they termed 'silo-working', as a potential drawback of the team-based approach, where staff become territorial about their team's role rather than sharing the wider aims of the probation area and other teams. Staff were therefore encouraged to develop semi-specialisms, such as working with drug-using offenders, which cut across team structures and case management functions and were a resource for all staff and offenders. According to one senior manager, *"Probation Service Officers play a vital role in boundary spanning, because they work across teams and forge relationships in a variety of fields from accommodation to community reintegration."*

## Staff attitudes and experiences of the model

The level of understanding and articulation amongst all grades of staff about the term case management was well developed in comparison with the other case study areas. Staff talked about 'integrating' the different elements of an offender's order, rather than just 'managing the offender.'

Staff of all grades had accepted the principle of a team rather than an individual approach to managing offenders. This was enhanced in some offices by:

- the co-location of teams of staff sharing the same office;
- enabling them to share information on a formal and informal basis, with a Probation Officer commenting, *"You overhear phone calls and pick up information which really helps the communication."*
- the benefits of other team members covering for annual leave and providing continuity of contact with offenders in staff absence because regular team meetings were held to discuss cases;
- Probation Officers appeared positive that team-sharing of cases allowed them to spend more time 'supervising' offenders, particularly during their pre and post programme rehearsal-work, as administrative tasks were now shared with others.
- Likewise, case administrators described more fulfilled roles, having greater responsibility with offenders and being able to take more initiative.

## Redefining the role of Probation Officers

Initially, after the model was introduced, Probation Officers were concerned about potential de-skilling, telling Senior Probation Officers, *"I'm not really sure what my role is', because they were seeing Probation Service Officers being able to do everything they could. Having spent so much time looking at where the roles could overlap... anyone can send out a letter or see an offender... it became important to redefine how and when the role of a Probation Officer and a Probation Service Officer does differ."* Although all team members were involved with the delivering orders, case managers were identified as having overall responsibility for bringing together all the different elements of the order. According to one Probation Officer, *"We now focus on the risk of harm element of cases."*

## Offender experiences

Offenders in case study B were generally positive about their supervision experiences, reporting that staff were friendly, approachable and flexible. The effectiveness of team-working was clearly apparent from offenders' familiarity with all team members who had frequent face-to-face contact with all of them. They were very clear that it was their Probation Officer case manager they needed to speak to if they had a personal problem, but they also appeared happy to talk to any member of staff about practical issues if their case manager was not available. As one offender noted, *"They all*

seem friendly enough so I'm happy to speak to any of them.”

This confidence was particularly well developed in one office, which had established an ‘open-door’ policy, allowing offenders to speak to members of staff when necessary, in addition to their National Standards appointments. The reassurance of flexible contact was noted by one offender, “*They are here every day, which really helps.*” Other offenders commented on the importance of continuity, if possible, “*Once you’ve got used to someone it’s hard to change,*” and “*...there is no point having different people, because they are going to treat you differently, aren’t they?*”

## Key issues and themes – case study B

### Product Champion

- Chief Officer took personal responsibility for all staff understanding the rationale for the model and the new team-based approach. However, the small area size allowed messages to be communicated at the same time – allowing consistent understanding of why the model was introduced. The rationale being that if staff did not understand the benefit of doing things in a certain way, they wouldn’t engage with the model.

### Importance of staff retention

- Staff retention had been relatively stable without the acute shortage of Probation Officers experienced by other areas. This may have played a large part in why the model operated successfully, and may be more influential for offender coherence than the type of case management model being run.
- Of all the case study areas, this model was the most well established, in terms of years of operation, which might have had as large an impact on how well it operated as the differences in structures and procedures across models;
- low staff turnover may also be a critical success factor. Low turnover meant four years after implementation, staff were still able to describe the rationale for the model.

### Team approach

- A key aim of the model was to develop a team-based case management approach.
- However, there was an optimum size for the team to function effectively, in order that staff could stay informed to some level of detail about all cases.
- Effective team collaboration was facilitated by staff co-location which led to informal as well as formal information exchange about offenders.
- ‘Silo-working’, was a potential drawback of the team-based approach, where staff became territorial about their team’s role rather than sharing the goal of whole probation area.
- Staff were therefore encouraged to develop semi-specialisms, such as working with drug-using offenders, which cut across team structures;
- Staff saw the actual *benefits* of other team members covering for their annual leave and providing continuity with offenders because they held regular team meetings to discuss cases.
- Probation Officers were positive that team sharing of cases allowed them to spend more time ‘supervising’ offenders, particularly their pre and post programme rehearsal-work, as their time had been freed from conducting some administrative tasks.

### Flexible role sharing

- A great deal of role flexibility, based on an ethos which focused on the importance of supervision being delivered rather than the grade of staff who conducted a particular task.
- However, there were difficulties for Probation Officers who were suffering from an identity crisis about what value they were adding that was different to PSOs. In later stages of model maturity senior managers had to refocus on what differentiated the two grades. It was about the former dealing with high risk cases.

### Enhanced case administrators

- Case administrators also held a variety of roles including overseeing the unit's workload; maintaining information systems including databases and offender tracking systems; liaising with programme and partnership providers.
- They helped evaluate the effectiveness of interventions for senior managers – highlighting their central role in performance management.

### Offender experiences

- The effectiveness of team-working was clearly apparent from the offenders' familiarity with all team members having frequent face-to-face contact with all of them.
- They were very clear that it was their Probation Officer case manager they needed to speak to if they had a personal problem, but they also appeared happy to talk to any member of staff about practical issues if their case manager was not available.

## Case study E

The last case study area introduced their mainly generic model in June 1998. The model was based around 'Practitioner Groups', which were small multi-grade groups of staff who worked within community supervision teams. Practitioner Groups typically consisted of two or three Probation Officers, one or two Probation Service Officers, a case administrator and staff from voluntary and partnership agencies. For more information see Appendix 1.

### Key issues and themes – case study E

#### Unique feature

- Effective Practice Group, as well as Practitioner groups, to advise and provide coaching for case management functions and tasks to enhance quality of interventions and supervision.

#### Roles and responsibilities

- Probation Service Officer role seemed less defined than other case study areas.
- Probation Officers in one area had not engaged with the team-based approach of the model, arguing that they hadn't been given a compelling argument for operating this approach.

#### Team approach

- Enhanced by weekly team meeting to discuss cases. However, there was a maximum capacity of 100 cases and three POs, two PSOs, otherwise the meetings were too long and there were too many cases to assimilate and understand and share information about.

#### Offender experiences

- Highlighted the importance of sustained contact with the case manager, in order to fully get to the heart of offender needs and issues.

## Emerging themes across the case management models

Overall several key themes emerged from the staff and offender interviews and visits: staff and offenders indicated that models provide benefits and drawbacks for different grades of staff and offenders, highlighting the challenge of balancing the needs of each group.

Specialist Models offer advantages for senior management in co-ordinating service delivery, helping

to: target scarce Probation Officer resources; focus resources on priorities; monitor delivery; and create efficiency gains by allowing staff to concentrate on specific case management functions.

Other staff also found the model offered advantages by helping to: reduce conflicting work priorities; clarify roles; promote consistent understanding of roles and responsibilities; and develop skills and expertise with particular subjects and offender groups.

However, specialist models also created various drawbacks that were not exclusive to them but were more apparent during the interviews with staff and offenders in those case study areas. By separating tasks and responsibilities into discrete teams they created resource intensive boundary-management issues with staff becoming territorial about their specific functions, reducing the flexible sharing of resources and the focus on the common goals of the probation area. Boundaries can also create communication barriers which require common information systems and protocols to ensure information about offenders is regularly shared and up-to-date. Separating commissioning and delivery functions also creates training needs as case manager commissioners need as clear an understanding of Offending Behaviour Programmes, and other interventions, as programme tutors and other agencies to ensure post-programme learning and rehearsal is maximised.

Generic models offered senior management advantages in terms of flexibility, particularly where staff resources are limited, or spread across a rural, geographically dispersed area where it is difficult to restrict staff to specific functions. For other staff, working with a mixed caseload of offenders and conducting a range of case management functions enhanced staff motivation by avoiding fears about de-skilling by concentrating on one set of tasks and allowing staff to see the impact of their work with offenders through regular contact and continued interventions.

Crucially, the greater level of task separation in a model the more offenders were confused by the range of different teams and staff they saw at different stages of their supervision. This fragmentation was most apparent in the specialist models which coupled with the chaotic nature of most offenders' lives may further reduce the chance of attendance and completion of orders. However, the case study areas with specialist models in this research were also metropolitan and characterised by higher staff turnover than other areas. This is likely to have had a compounding effect on the fragmented experience of offenders and would need to be further tested across a wider number of areas with more stable staffing.

Offenders supervised within specialist models were less aware of who was overseeing their order and who to contact if they experienced an emotional or practical crisis. Offenders were unanimous about the importance of continuity of contact with the same case manager, particularly during the initial stages of their supervision. They reported being more likely to trust their case manager, address their problems and ask for help if they saw the same person over a period of time - indicating the importance of the case manager as a stable, human link during the order.

It took time for offenders to gain confidence with different members of staff and they became easily disillusioned if they had to repeatedly explain their offending history and problems to new supervising officers. They raised concerns about the potential for inconsistent treatment and deterioration in supervision quality while a new member staff became familiar with their case. Offenders were confused about why they were undertaking key elements of their supervision when the amount of contact with a case manager in the early stages of an order was limited before being referred onto different practitioners and partnership agencies.

## Recommendations for future practice: continuity of contact

Regardless of the model operating in different probation areas, several core principles enhance the ability to engage and motivate the offender.

### The face-to-face team approach

Team-working was extremely beneficial for both staff and offenders. Teams, which fully utilised Probation Service Officers and administrative staff, enabled Probation Officers to target their efforts on high-risk-of-harm offenders and at key stages of an order such as the risk and need



assessment. Administrative staff performed the key functions of monitoring attendance, compliance and triggering reviews, which helped ensure National Standards were met. PSOs conducted much of the day-to-day work with low and medium-risk-of-harm offenders and commissioned interventions. However, in order for team-work to be effective, roles and responsibilities must be clarified and agreed, particularly those of the case manager. Case managers were typically identified as the person with ultimate responsibility for the assessment, progress and enforcement action, and overall integration of the order.

Where team-working was effectively developed and offenders had regular face-to-face contact with the various team members they were more open to talking to someone other than their case manager about practical problems. In areas where resources do not permit one case manager to work with an offender throughout their order, team-based continuity could provide a useful alternative.

Openness, flexibility and a supportive approach were key motivating factors identified by all offenders. This was exemplified in one area where the staff team created an open-door policy, allowing offenders to visit the office in addition to their statutory appointments. Many offenders found this flexibility and continuity of contact very helpful. However, this may have been happening across the models and would certainly be a practice to be commended in case management generally.

### Three-way meetings between case managers, practitioners and offenders

Only a few offenders reported having three-way meetings prior to attending accredited programmes. Those who did found them very useful in helping to prepare them for group work, remind them why they were going on the programme and clarify what would be expected of them. The three-way meetings helped provide a sense of cohesion.

### The case manager acting as the go-between and escort between different practitioners and stages of the order

In one case study area an officer 'physically' integrated an offender's experience of supervision by offering to attend initial meetings with social services and counsellors. This sense of being escorted and helped onto the next stage of the order provided vital reassurance to this offender who had failed to attend these meetings in the past. Whilst this is not always feasible due to workloads, it highlights some of the ways of reducing offenders' often fragmented experiences of supervision.

The needs of offenders and their response to different case management structures and processes have not been at the forefront of thinking when models have been designed and implemented. The different ways offenders react and interact with complex and highly fragmented models in contrast to a team-based case management approach need to be considered in future. Developments need to reflect the 'What Works responsivity' principle, which recognises offenders' differing learning styles and ways to engage and motivate them. This links with one of the nine European Excellence Model criteria - to provide 'a clear focus on the potential needs of customers.' (Home Office, National Probation Directorate, 1998). Structures in isolation are unlikely to sustain offenders on their orders.

### The local context

The local context in which a model operates will have a large impact on what is feasible and how successfully a model can be implemented. Important local factors include: geography; availability of staff resources at different grades (scarcity of Probation Officers was a common issue); availability of voluntary and statutory agencies; staff turnover; and caseload size. These factors can particularly restrict the degree of specialisation within a model and the efficacy of designing one model to fit all areas.

## Model design and implementation is also enhanced by:

- a clear understanding among senior management about what the model is intended to achieve;
- strong senior management commitment to the model;
- selecting 'product champions', often at Senior Probation Officer level, to communicate how the model will work in practice to staff;
- staff consultation, across all grades, to ensure a widespread understanding of roles and responsibilities and how staff will benefit from new ways of working. This is particularly important at Probation Officer level, as commitment from this grade enhanced successful implementation and acceptance that case management is about the whole organisation working together rather than the role of individuals; and
- regular reviews of how the model is working in practice to clarify roles and responsibilities and sustain commitment to the model.

### 3. Case management models and measures of effectiveness

Having focused in detail on the operation of three case management models, this chapter provides an overview of the case management approaches taking place in probation areas across England and Wales. In order to provide comparable case management information a self-completion questionnaire was devised in March 2001. This covered a range of issues including: how staff were organised to deliver supervision and manage offender progress; how roles, responsibilities and tasks were allocated among staff; and whether there were any particular benefits or disadvantages to implementing specific models. By analysing this information it was also possible to explore whether there was any relationship between different models and effective intervention, as measured by HMIP's Performance Inspection Programme data. It is important to note that, while it is possible to examine the general effectiveness of different models, it is not possible to make direct causal links between performance and different model types. However, indications about the effective elements of different models were apparent from the qualitative data, which could be further tested with a mixture of quantitative and qualitative measures in future. Performance is likely to be the result of the interplay of a range of factors of which good case management is one element.

#### Survey results

Survey responses were received from 32 out of a possible 54 probation areas in England and Wales, as well as Northern Ireland.<sup>9</sup> The areas that did not respond were likely to cover areas where case management models were not developed, varied substantially in offices across the country, or were in a process of development or transition. The information therefore reflects what the areas were doing at that point and while some areas may have changed their respective models since then the issues and themes remain relevant. These results relate to managers' perceptions of their local arrangements and do not necessarily reflect actual practice.

These results were also useful because they overlapped with the timeframe covered by the three-year rolling Performance Inspection Programme, which took place between 1999 and 2001. Responses from the 32 areas showed an almost even split between two models, with 15 classified as specialist, 13 as generic and only 3 areas defined as operating a hybrid model.<sup>10</sup>

#### Team or individual case management approach

Model distinctions have also been drawn around whether staff and case management functions are delivered by multi-grade teams or by individuals. The distribution of staff structures across the different models showed areas classified as having specialist models were mainly structured into multi-grade teams (see table 3.1).

Table 3.1: Team case management or Individual officer case management?

Staff structures	<i>Models of case management</i>		
	Specialist	Generic	Hybrid
Team	12		
Officer	1	10	
Mixed	2	3	3
<b>Total</b>	<b>15</b>	<b>13</b>	<b>3</b>

9 However, it was not always possible to analyse information on every question from each probation area as answers were not complete.

10 It was not possible to classify one area based on the information provided.

## Role and task allocation

Analysis of both Probation Officers and Probation Service Officers' roles showed relatively little variation by model type. Table A 2.1 (see Appendix 2) shows the broad spectrum of tasks carried out by Probation Service Officers in both specialist and generic models – ranging from conducting risk and need assessments to managing attendance. The most common tasks included: co-ordinating and sequencing work; conducting referrals; other supervision work; and managing contact, attendance and enforcement. Probation Service Officers working within specialist models were marginally more likely to be used for these tasks than in the other models. There is more variation with the case administrator role. Although they conduct a similar range of tasks across the models, mainly focusing on co-ordinating and sequencing, referrals, managing attendance and enforcement, they are more likely to be involved with enforcement if they work within a specialist framework. This may reflect the greater use of multi-grade team structures within specialist models and the extensive involvement of administrators witnessed during the case study visits (see Table A2.2, Appendix 2).

## Features, benefits and disadvantages of the models

Probation areas identified several key features which case management models could contribute to in terms of effective offender supervision. It is clear from table 3.2 that the same issues were identified as important regardless of model type and although structures and procedures differ, addressing and thinking about this issue was seen as key.

*Table 3.2: Perceptions of model contributions to effective offender supervision*

Features of models	Case management models		
	Specialist	Generic	Hybrid
Structure and processes	10	6	
Risk assessment	3	2	1
Risk management	3	6	
Team work	4	2	
Support from case administrators	2	2	
Staff motivation/morale	2	2	
Partnerships	2	1	
National Standards monitoring	1	2	
Quality of supervision plans			1
<b>Total number of models</b>	<b>15</b>	<b>13</b>	<b>3</b>

It became evident during the case study visits that certain models were associated with specific advantages and disadvantages, which are potentially inherent in the way they are structured. These were corroborated by the questionnaire findings shown in tables A2.3 and A2.4 (see Appendix 2). Specialist models were viewed as being more likely to make better use of scarce Probation Officer resources by targeting them at specific types of offenders or case management tasks. However, the corollary was that they were also seen as providing a less integrated supervision experience for offenders, and a more disjointed and less fulfilling supervision experience for staff as well.

## Case management models and HMIP performance measures

The aim of this section is to explore whether there is any relationship between HMIP's performance data and different models of case management. HMIP provide an independent review of the National Probation Service to ensure they are delivering a high-quality service and providing the

best value for money within available resources. Inspections are conducted over a three-year period resulting in reports and recommendations to areas. A programme of follow-up inspections is then conducted 12 months after the initial inspection report is published to ensure progress has been made in implementing any recommendations. Decisions about the level and detail of the follow-up inspection depend on a range of criteria including: performance against Home Office Key Performance Indicator and National Standards' targets<sup>11</sup>; performance in relation to observed practice (including issues such as public protection and impact of supervision on offender behaviour); achievement of value for money (including the use of partnerships); achievement of equitable service delivery; leadership and management arrangements to plan and review performance; and any other factors which may have contributed to particularly good or poor performance.

Inspection data from probation areas (collected from 1999-2001) were comparable with 24 of the case management questionnaire responses. This difference is due to information provided by a greater number of probation areas (54) prior to amalgamation. Four main measures of performance were selected for this analysis, including: the overall quality of Pre-Sentence reports; the delivery of interventions identified in the supervision plan; the level of contact; and the enforcement of compliance with orders. Data were analysed for Community Rehabilitation Orders (CROs), Community Punishment and Rehabilitation Orders (CPROs) and high-risk cases. While the latter was not formally part of the research, information about the management of high-risk of harm and reoffending offenders was collected during the case study visits and therefore it was sensible to compare performance with this group of offenders.

These measures are based on a sample of 60 separate reports in each probation area. Sixty reports were analysed for PSRs, offenders sentenced to Community Punishment Orders, Community Rehabilitation Orders and Community Punishment and Rehabilitation Orders and high-risk cases (for full information on the HMIP measures see Appendix 3).

## HMIP results

HMIP score probation areas in terms of the proportion of these reports where functions were carried out and to the required standard. For the purposes of this analysis, data were grouped into three main categories: Below Average, Average and Above Average in terms of the overall performance of every area on each of the four measures (PSRs, contact, supervision and enforcement). The overall performance was calculated by comparing how each individual area performed in comparison to the average performance of all the probation areas on each separate element of the four measures. These differences were totalled to give the overall sum of the differences which were divided by the number of elements in each of the four measures (the average sum of differences) (see tables in Appendix 2).

The average differences were classified into the three categories, Below Average, Average and Above Average, by calculating the inter-quartile range of the average differences (the inter-quartile range is the upper quartile minus the lower quartile). The average category is therefore the middle 50 per cent of the data range. These categories were then compared with the case management model identified in the questionnaires.

The spread of different types of models within the HMIP data was similar to those in the questionnaires: 13 specialist, 9 generic and 2 hybrid. As Table 3.3 shows, areas operating a specialist model were almost twice as likely to score 'Above Average' than generic models, however, there was very little difference in the score for 'Average' performance. When analysing the four different measures of effectiveness in detail there were no specific elements of performance where the specialist models appeared to excel or have particular strengths.

11 National Standards are designed to improve accountability, consistency, good practice and service effectiveness. National Standards do not of themselves guarantee a quality service delivery, but they are based on best practice and should be striven for and compliance should be monitored.

*Table 3.3 Comparison of HMIP performance categories\* 'between' case management models*

Model type	Performance categories						Column Totals
	Below average performance	%	Average performance	%	Above average performance	%	
Specialist	19	19	56	59	29	30	104
Generic	19	26	41	56	13	18	73
Hybrid	10	63	4	25	2	12	16
<b>Totals</b>	<b>48</b>	<b>108</b>	<b>101</b>	<b>131</b>	<b>44</b>	<b>60</b>	<b>194</b>

\* There were 13 Specialist models; 9 Generic models and 2 Hybrid models.

## Conclusion

While it is possible to examine the link between different models and HMIP measures of performance, it is not possible to make direct causal connections between them. This is due to the fact that good or bad performance relates to a range of factors and it is difficult to isolate the level of impact contributed specifically by a case management model. Other contributing factors, which will be discussed in more detail in the concluding chapter, are likely to include: strong and effective leadership from the Chief Probation Officer; the level of emphasis placed on National Standards; the day to day role of operational managers at SPO level; as well as the existence of information systems and the monitoring and analysis facilitated by this information. Research could be designed which aim to isolate the specific impact of case management models but it would involve selecting areas on the basis of the same geography, caseload, staff turnover, management style and a range of other factors. In practice, it would be difficult to ensure that all influencing factors had been taken into account. In addition, these measures assess specific tasks the supervision process, rather than the end to end, longitudinal continuity of contact, identified as critical to effective case management in this report.

## 4. Conclusions and recommendations

### Commonality between the models

The case study areas were initially selected because they appeared to represent very different models of case management. However, during the in-depth research it became clear that the models had many common features despite their differing structures. These included some degree of practitioner specialisation and moves towards separating the commissioner and provider role. All of the models also showed a changing attitude towards the role of Probation Service Officers and administrative staff, though some were more developed than others. Most of the case studies did not represent a 'pure' form of either a generic or specialist typology and therefore it is more useful to conceptualise the models in terms of their position on a scale from specialist to generic. Case study A most closely represented a specialist model, followed by C. D was hybrid while B and E were mainly generic with some semi-specialist roles.

### 'Drivers' behind case management

All the models were introduced against the background of a modernisation agenda within the probation service. Probation areas now supervise an increasing offender workload and need to protect the public within the context of resource rationalisation. These common 'drivers' include:

- introduction of the 'What Works' principles determining effective supervision;
- shortage of Probation Officers and the need to carefully target these resources towards offenders with a high-risk-of-harm and reoffending potential;
- need to increase throughput of offenders on accredited programmes;
- increased requirements of National Standards in terms of attendance, completion and compliance; and
- greater utilisation of practitioners and partnership agencies.

As first discussed in Chapter 2, the development of case management models has been largely driven by 'supply side' or organisational 'drivers' in terms of targets set centrally and the need to deliver effective practice within the parameters of offender compliance. Consequently, the needs of offenders and their response to different case management structures and processes were rarely taken into account when designing or implementing the models. Many areas were just starting to think about 'quality' issues and the fact that as well as getting offenders onto programmes they needed to sustain and engage them throughout the supervision period. This is a significant finding and one that needs to be carefully considered by all probation areas when developing case management models.

The rationale for introducing a case management model can also have an impact upon the motivation of staff and the degree to which they adapt to new ways of working. Staff were more likely to work as a team, and accept their role within a case management model, where they had a clear understanding of what they were doing and a belief that it was a more effective way of working rather than a way of dealing with limited resources.

### Impact of local factors

While the case studies showed differences regarding, for example, whether Pre-Sentence Reports were undertaken by an assessment team or by supervising case managers, many of the differences in the way models operated related to the local context of the probation area. The degree of specialisation of staff roles and functions is affected by the dispersal of staff and offenders, particularly across rural areas. The availability and extent of public transport in these

areas can also affect regular access to services as well as the widespread availability of specialised partnership agencies or practitioners in remote offices. As one member of senior management commented, you cannot force a case management model to fit an area where it can not be sustained due to geography.

Other 'real world' issues have a substantial impact on how effectively a model can be translated from paper and fully implemented in the field. These include the degree of:

- staff shortages;
- number of Probation Officers;
- caseload per officer;
- staff turnover; and
- use of information technology and communication systems across models.

These factors can restrict the degree to which highly specialised models can be developed where specific teams work with a restricted number or type of offenders.

## Offenders' experiences

As already discussed, the decision to reorganise staff structures and procedures was largely influenced by experience of an unsatisfactory HMIP inspection and the drivers listed above. The different ways offenders might react to complex and highly fragmented models, or to a team case management approach was not considered by any of the areas reviewed. This is counter to the 'What Works responsivity' principle, which recognises the need to identify offender learning styles and ways of most actively engaging them. It is also contrary to one of the nine European Excellence Model criteria which emphasises the need for 'a clear focus on the potential needs of customers.' (Home Office, National Probation Directorate, 1998).

The research found that most offenders did not understand the concept of case management or case managers. Although only a small sample of offenders were interviewed in each case study, most had difficulty articulating what type of order they had received, the length of the order or when it commenced. They seemed unaware that they had a case manager who was overseeing and integrating their order. Most were unable to distinguish between different grades of staff using the term 'Probation Officer' when referring to any member of staff. However, most were clear about the distinction between partnership agency staff and probation staff.

Most offenders remembered discussing attendance and compliance rules during the first meeting with their supervising officers. Although few were specific about the objectives of their supervision plan, most understood what they were trying to achieve during their order. The majority of offenders interviewed were happy that the supervising Probation Officer had taken into account issues they had raised and these issues had been incorporated into their order.

## Case manager continuity

Offenders were unanimous, across all the models, about the importance of working with the same supervising Probation Officer, who they knew and trusted throughout their order. This seemed to be particularly important during the initial stages of the order. However, it is important to note, that offenders often refer to staff as Probation Officers, and may be acknowledging the importance of contact with other members of a case management team. The continuity of the human contact allowed offenders to trust their supervising officer, which in turn allowed them to talk openly about personal issues and ask for help. Offenders talked about the time it took to gain confidence with new people and expressed fatigue at repeatedly having to explain their problems to someone new. They also feared that they would be treated differently and the quality of their supervision would suffer with new members of staff asking very general questions, which didn't address the real issues.



Concerns about continuity of contact were also echoed by staff particularly those working with high-risk-of-harm offenders. This group was seen as highly chaotic and not suited to a team case management approach with many struggling to relate to one person.

## Fragmentation and crisis management

Offenders who had experienced a number of changes in their supervising Probation Officer were less sure about who to contact if they experienced a personal or a practical crisis. Offenders in case study A were most likely to mention changes in their supervising officers. However, this is likely to relate to staff turnover as well as the degree of fragmentation in the model.

This was also true of offenders who had experienced a number of referrals between practitioners and partnership agencies, particularly where the amount of contact with the case manager had been limited. Having single meetings with a PSR writer, then a case manager, being transferred onto a programme for several months with no probation contact and then returning to the probation office to meet a different supervising officer had caused confusion. This may also impact on the quality of post-programme work.

Only a few offenders reported having a three-way meeting prior to attending accredited programmes. However, those who did found them useful as it helped them prepare for group-work enabling them to ask questions, know what was expected of them, and find out about the type of people who would attend.

## The team approach

Overall, where team-working had been developed and offenders had face-to-face contact with the different members of staff they were more open to talking to people other than their case manager about practical problems. This was particularly apparent in case study B, which interestingly was also one of the least complex models and used the team approach to best effect. Here offenders were considerably clearer that they would see and talk to all members of the team who were all described as friendly and approachable. This may be the result of a more established model or that practitioners worked in a more cohesive way and were happy to overlap and share roles. It is outside the scope of this research to account for this, but the relationship between the complexity of model and offender understanding of their supervision may be an interesting topic to explore further.

## Recommendations

It became apparent during this research that just establishing case management structures and procedures on their own do not necessarily generate effective or consistent relationships between case managers and offenders. One offender talked about widely contrasting experiences with different officers working within the same model. However, from the offenders' perspective continuity of case manager seemed particularly beneficial. While it is not necessarily practical for any model to guarantee one supervising officer throughout an offender's order, it is also clear that it is preferable to offenders if the number of different Case managers they have contact with is limited as far as possible to provide continuity of human contact. It also seems beneficial if the same case manager is involved with pre-and post-programme work to build on the new learning and experiences gained through offender behaviour programmes.

There were several examples of good practice across the different models. Openness, flexibility and support were key motivating factors identified by all the offenders. This was exemplified in one of the offices in case study B where the team created an open-door policy, allowing offenders to visit the office and speak to members of staff outside of their statutory appointments. Many offenders found this flexibility and continuity of contact very reassuring.

In case study C one of the officers had 'physically' integrated an offender's experience of the order and ensured case management continuity by offering to attend an initial meeting with social services and a counsellor. This sense of being guided onto the next stage of the order had provided

vital reassurance to an offender who had failed to attend these meetings in the past. While this is not always feasible due to workloads, it highlights some of the ways of integrating offenders' often fragmented experience of community penalties.

## Conclusion: isolating the impact of case management models

Specialist models allowed senior management to co-ordinate service delivery tightly and target resources at specific offenders and key supervision stages. However, offenders who experienced a high degree of task separation and movement between different teams, most apparent in the specialist models, had the least coherent supervision experience.

Generic models enhanced staff motivation by allowing them to work with a mixed caseload of offenders and have continued contact with the same offenders enabling them to see the impact of their work.

Local contextual differences (geographical configuration, staff resources, skills and turnover) restricted the degree of specialisation within a model and the ability to design one model to 'fit' all probation areas.

Whatever the model type, several core case management principles enhanced offender engagement. Models may therefore need to be refocused and even redesigned taking these principles into account:

- models need to be refocused to acknowledge offenders' experiences and needs;
- continuity of contact with the same case manager and other staff was essential to build confidence and rapport with the offender, particularly during the initial stages of supervision;
- the greater the level of task separation the more offenders were confused by why they were undertaking different elements of their supervision, particularly where contact with the case manager had been limited;
- face-to-face contact with a small case management team was beneficial for both staff and offenders, since this was able to counter the unavoidable discontinuity of relationships; and
- openness, flexibility and support were key motivating factors for offenders exemplified by three-way meetings between case managers, practitioners and offenders and where case managers attended initial meetings with partnership agencies.

There were several common outstanding issues still to be addressed for many of the case study areas, including the more mature models. For all models the initial implementation process had always focused on establishing the structures and processes, with the quality of case management interaction with the offender being secondary. While this focus may initially increase throughput onto Accredited Programmes it does not necessarily equate to higher completion rates. This highlights the fact that model structures alone do not necessarily engage or sustain offenders through their orders.

For each of the different models there were benefits and drawbacks for staff and offenders. However, this research has highlighted the difficulty of making direct causal links between effectiveness and models of case management. Effectiveness relates to a range of factors and it is difficult to isolate the specific impact of the model in relation to the myriad of other local and contextual factors. While it is possible to design a piece of research to try to isolate the specific impact of case management models, it would be difficult to ensure that all extraneous factors had been taken into account.

## The future

While this research concentrated on identifying current practice, future research will need to consider what impact different models have on attendance and compliance rates. Outcome measures will also need to be evaluated including the effect of different models on changes to offender attitudes, employment levels, accommodation stability and reconviction rates. The finding that offenders who experienced a high degree of task separation and movement between different teams, most apparent in the specialist models, had the least coherent supervision experience will need to be tested across a wider number of probation areas and across different geographical localities and caseload sizes.

As this research was being finalised, the creation of National Offender Management Service (NOMS) was announced, with the publication of the Carter report and government response. The new service will ensure a better focus on managing offenders by putting individual offender management at the centre of a single service, with management throughout the whole of their sentence from prison through to probation. This report is intended to provide initial information and lessons to support them in this task.

# Appendix 1: Outline of local contextual factors for each case study area

## Case study A

In terms of caseload, Case Study A was a medium-sized area. In 1999:

- approximately 900 people started community rehabilitation orders;
- approximately 1,000 started community punishment orders;
- 400 people started community punishment and rehabilitation order and
- the average caseload was 19.4 court orders per Probation Officer (full time equivalents), close to the national average of 19 for all probation areas.

Staffing levels included:

- 137 Probation Officers (including part time officers);
- 167 staff of non-Probation Officer grade; and
- the organisation was facing resource challenges, with difficulties retaining Probation Officers, a typical situation for a large probation area.

(Source: Probation Statistics 2000)

## Case study B

In terms of caseload in 1999:

- 395 people started community punishment orders;
- 106 people started community punishment and rehabilitation orders;
- 342 people started community rehabilitation orders; and
- each officer managed on average 16.4 court orders (below national average). This made case study B nationally one of the smaller areas in terms of workload.

In terms of staffing:

- staff retention had been relatively stable, and without the acute shortage of Probation Officers experienced by other probation areas; and
- the area employed 53 Probation Officers and 67 non-probation staff.

(Source: Probation Statistics 2000)

## Case study C

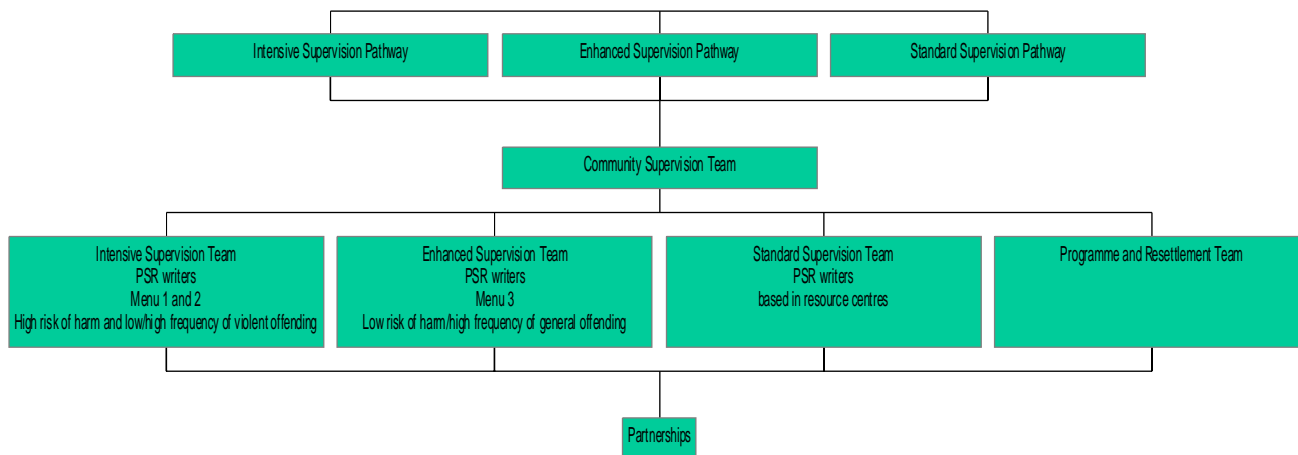
As this case study area related to the work of one team of staff piloting the model it was not deemed appropriate to compare the characteristics of the entire area, as displayed for the other case study areas.

## Local contextual factors

A specialist model was piloted in one team in a probation office covering half a city's caseload in a mixed urban and rural probation area. The rest of the probation office still operated along Generic lines. The area had an unemployment rate of 3.3 per cent and a large, well-established Asian

population. The small team was made up of 1 Senior Probation Officer, 9 Probation Officers, 3 Probation Service Officers and three administrative staff, handling about 400 cases at any one time and approximately 45 cases per month.

Figure A1.1: Case study C



### Model 'drivers' and aims

The model was introduced in July 2000, as part of a region-wide policy to allocate work according to 'What Works' principles by prioritising resources for high risk of harm offenders in response to a shortage of Probation Officers. Key model aims were to:

- improve supervision coordination and enforcement rates;
- establish clearer lines of management;
- clarify the roles of Probation Officers and Probation Service Officers; and
- facilitate clearer communication.

### Staff allocation to teams

This model did not separate case management functions as fully as case study A as it did not have a separate Pre-Sentence Report writing and allocation team, although dedicated PSR posts were established, as senior managers recognised the conflict of responsibilities between report deadlines and case management tasks. However, this arrangement appeared flexible with most Probation Officers being involved with PSR writing at some stage.

Case allocation was separated according to risk of harm and re-offending, with three different supervision pathways or units. Unlike case study A, Probation Officer and Probation Service Officer roles seemed largely interchangeable within these units. There was clear separation between the brokering case manager role and delivery functions.

The Community Supervision team was divided into three separate units:

- the *Intensive Supervision Unit*, for offenders presenting a high risk of harm to the public;
- the *Enhanced Supervision Unit* for offenders with a high risk of reoffending (often of property or drug offences); and
- the *Standard Supervision Unit* which managed the remaining caseload.

### Maximum caseloads

Unlike the other case study areas, this model operated ring-fenced, maximum caseloads. Case

managers had responsibility for a maximum of 25 cases in the Intensive Supervision Unit (ISU), 35 in the Enhanced Supervision Unit (ESU) and up to 130 in the Standard Supervision Unit (SSU). Caseloads were managed by a process of constant re-assessment (supported by an SPO), where Case managers re-assigned offenders to a different unit if a new high risk of harm or reoffending case was identified, with a policy of one in and one out.

## Supervision menus: offender allocation

Offenders were allocated to the three units according to five supervision 'menus' based on risk of harm to the public, risk of re-offending, offence type, criminogenic and social needs. There were two menus for high risk of harm offenders and three for lower risk of harm. Risk was measured by an Assessment and Case Evaluation (ACE) tool, while risk of reoffending was measured by OGRS (Offender Group Reconviction Scale).

*Menu 1*, high risk of harm and high frequency of violent offending;

*Menu 2*, high risk of harm and a low frequency of violent offending;

*Menu 3*, low risk of harm and a high frequency of general offending (OGRS score of 74% and above);

*Menu 4*, low risk of harm and medium frequency of general offending (OGRS 41-74%); and

*Menu 5*, low risk of harm and low frequency of re-offending.

Guidelines accompanied the different menus specifying the types of interventions case managers should undertake with offenders. These covered: intensity of contact and supervision; suitability for offender behaviour programmes and partnership interventions and the appropriate stage when Probation Service Officers should manage day to day work with offenders.

## Defining roles, responsibilities and allocating tasks amongst staff

The Probation Officer case manager's principal role was to broker services and manage high risk of harm cases. They focused on managing risk, coordinating referrals, conducting reviews, undertaking one-to-one work and overseeing enforcement action. Day to day supervision of Probation Service Officers was delegated to case managers, freeing up SPOs to refocus roles around 'performance' management. They monitored and evaluated the model: monitoring caseloads, referrals to partnerships, National Standards information, as well as the quality of systems and interventions.

When the model was originally introduced it was intended that Probation Officers would retain ultimate responsibility for cases and only delegate specific tasks to Case Supervisors (as Probation Service Officers were known in this area). However, due to a shortage of Probation Officers, Probation Service Officers were under taking day-to-day case management of offenders allocated to menus 3, 4 and 5, after the initial risk and need assessment had been conducted. Within risk levels there was a great deal of task-sharing between case managers and case supervisors, with flat team structures. As one middle manager noted, *"In a low risk case the Probation Service Officer can have the same duties as the case manager in a high risk case."* Case supervisors reported writing final warning letters, liaising with programmes and partnership contacts and conducting enforcement action under the supervision of case managers. However, motivational work and relapse prevention was retained by Probation Officers.

## Enhanced administrator role

Another aim of the pilot was to enhance the role of administrators in managing cases. An administrative manager, accountable to the SPO, was responsible for PSR allocation, general office management and information systems. Two experimental case administrator posts were developed to:

- monitor caseloads;
- co-ordinate appointments;
- follow-up unacceptable absences;
- identify potential revocations; and

- trigger risk and supervision reviews.

While the case administrators role was more developed than in case study A, administrators were physically separated from other team members in a different room (locked to prevent offender entrance) and lacked regular face to face contact with staff. The administrator was not a central member of the team as case files were still held by the case manager (if high risk of harm) or case supervisor (if low risk). However, the administrators found the role more fulfilling and senior managers reported significant benefits to enforcement performance where they managed offender attendance.

## Senior managers and staff attitudes towards the model

- Staff seemed motivated by the model, which may relate to their involvement at the design stage during regional and team consultation meetings. One Probation Officer commented, *“As we helped develop the model we don’t feel it was imposed from above.”*
- There was also significant involvement by an SPO who championed the model and motivated staff on an ongoing basis.
- Probation Officers were happy to delegate to Probation Service Officers, though this was a necessity due to the shortage of trained staff.
- Probation Service Officers reported greater clarity and consistency of roles in both an internal staff survey and during the interviews.
- This was aided by working in smaller teams, with a lower ratio of Probation Officers, which enabled a more consistent approach to task allocation.

Senior management believed the model had addressed many of its original aims including:

- focusing scarce Probation Officer resources around risk;
- daily supervision of case supervisors by case managers had improved communication and the shared approach to offender management- confirmed by staff comments about joint case reviews;
- service delivery had become standardised with menus linking risk to specific interventions, which lead to *‘more built-in inevitability and structured expectations, which have been formalised and clarified.’* (Senior Probation Officer).

However, there were still some unresolved issues including:

- more work needed to clarify the intensity and sequencing of orders for different types of offenders;
- lack of clarity about applying the risk of harm assessments to the five menu options;
- not all staff were aware of the thresholds for ring-fenced caseloads and they were difficult to sustain in practice with Probation Service Officers supervising offenders in higher risk categories than intended in the model design to maintain the workload allocation;
- the ring-fenced caseload was also vulnerable during staff shortages;
- initial emphasis on getting the model structures and processes right rather than focusing on the impact of the model on offender engagement;
- structures alone were not seen as sufficient to deliver quality supervision to offenders and therefore a staff manual was being developed to improve case management practice;
- The model was due to be rolled out to the other city team, operating a generic model, in the area in April 2001. This had not happened during the fieldwork and appeared to relate to the comparable performance of the teams operating the generic model in terms of key performance indicators (attendance and compliance rates) making the benefits of a specialist model unclear to other staff teams. There were also concerns about translating the model's high degree of specialisation and targeting across the remaining isolated, rural county offices.

## Offender experiences

Like case study A, area C focused the case manager's role on brokering rather than delivering interventions. However, one member of staff attempted to 'bridge' the physical separation between the two to bring coherence to an offender's supervision by attending the first meeting at a counselling service. The offender commented, *"She's set me up a meeting with social services and a counsellor... and she's offered to come with me..."* This sense of being guided to the next phase of the order provided the vital support and continuity of contact the offender needed to attend a meeting previously avoided despite acknowledging the need for help. This may have also contributed to the trusting relationship between the offender and officer, *"I trust her and can talk to her, because I've been in a children's home and so can't talk to my mum."*

The helpfulness of three-way meetings amongst offenders, case managers and teams or agencies delivering interventions at the beginning of a new supervision stage was echoed by another offender saying, *"The meeting at the beginning of my programme meant I could ask several questions."* It also helped alleviate worries about dealing with new staff, *"It helped to know what to expect and the type of people I would be seeing."*

One offender at the reporting stage of the order, highlighted that it is not just high risk of harm and recidivist offenders who need continuity, or that continuity is only important during the initial stages of the order. When asked who he would talk to if faced with a problem he said, *"I don't know, I see a different person in the drop-in centre every time."*

## Case study D

- Unemployment rate of 4.8 per cent and areas of deprivation, both within the towns and in the rural community.
- Transport links were not well developed in the rural areas.

In terms of caseload in 1999, the whole area was approximately average for England and Wales with:

- 854 offenders starting Community Punishment Orders;
- 506 offenders starting Community Punishment and Rehabilitation Orders; and
- 991 offenders starting Community rehabilitation Orders.

In terms of staff the area employed:

- 131 Probation Officers;
- 198 non probation grade staff; and
- the average caseload was 24.5 cases per officer, 5 cases above the national average.

(Source: Probation Statistics 2000)

## Case study E

This probation area employed:

- 66 Probation Officers and probation managers working from 13 different bases throughout the county; and
- had over 150 members of staff in total.

Figures for the 31 December 1999, showed that:

- 547 people started a Community Rehabilitation Order;
- 756 started a Community Punishment Order;



- 240 people started a Community Punishment and Rehabilitation Order; and
- average caseload was 16.5 criminal orders per Probation Officer.<sup>12</sup>

(Source: Probation Statistics 2000)

## Local contextual factors

The last case study area introduced their mainly generic case management model in June 1998, into an area with two principal urban areas as well as a few widely dispersed towns. Rates of unemployment were low at 2.2 per cent compared with an average of 3.7 per cent for Great Britain<sup>13</sup>. There were good road and cross-county rail links. There was a small ethnic minority population totalling approximately 1%<sup>14</sup>. Average caseloads were 16.5 criminal orders per Probation Officer, slightly lower than the national average of 19.<sup>15</sup>

## Model 'drivers' and aims

The model was introduced after a poor HMIP inspection in 1997. Senior management undertook a review of all processes and structures, culminating in a complete restructure. The model aimed to deal with increased caseloads, while still achieving higher quality supervision and to be a responsive service dealing with the differing needs of offenders.

One of the key aims of senior managers was that the model should be flexible and operate as semi-specialist or generic (allocation according to geography) depending on the needs and context of each local area. In the two offices where staff were interviewed case allocation and risk issues were mainly dealt with according to geography. Some staff had Specialist roles such as PSR writing, working with offenders sentenced to specific orders such as Drug Treatment and Testing Orders, or on licence. However, this seemed a flexible arrangement rather than a rigid separation of roles. It was a hybrid in terms of the commissioner and provider separation with some Probation Officers and Probation Service Officers delivering programmes as well as managing caseloads. Compared with the other case study areas, the role of Probation Service Officers appeared less defined and therefore the degree and type of team-working was less systematic.

## Staff structures

The case management model was based around 'practitioner groups', small multi-grade groups of staff who worked within Community Supervision teams to supervise offenders. Practitioner Groups usually consisted of two or three Probation Officers, one or two Probation Service Officers, a case administrator and staff from voluntary and partnership agencies. Practitioner Groups were formed to enable responsibilities for offenders to be shared across grades, so that staff could cover each others' absences, but also work together to make best use of their different strengths and skills. These groups were managed by a Senior Probation Officer. The practitioner groups covered geographical areas, with the work allocated on the basis of risk of harm and reoffending. Probation Officers were allocated high risk of harm and recidivist offenders whilst Probation Service Officers supervised the lower risk of harm cases.

An unusual feature of this model was the establishment of an Effective Practice Unit, in addition to the practitioner groups. This reflected the importance placed on the Effective Practice Agenda to the new way of working. This unit comprised 3 Practice Developers (PDs), who were senior practitioners based within each field unit who worked with practitioner groups to provide on-the-job coaching for staff, advising them on assessment and supervision issues. Practice developers were line managed by the Effective Practice Manager (EPM), an SPO, based centrally at Head Office. Although qualified officers, they were not available to help SPOs manage caseloads, though they did free up some SPO time to focus on more strategic and performance-related issues.

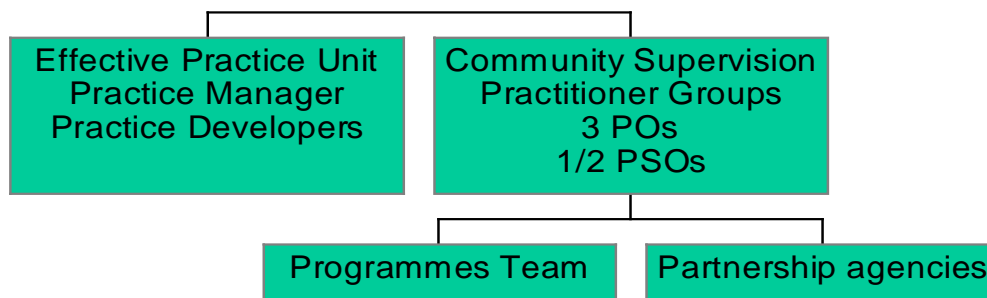
12 This figure excludes Community Punishment Orders, and includes cases supervised by staff other than maingrade officers. Published in Probation Statistics, 2000.

13 Claimant Count data, published by the Office for National Statistics on 16 August 2000.

14 Percentage in minority ethnic groups aged 18 to 54 in the Labour Force Survey 1996-1998.

15 See footnote 12.

Figure A1.2: Case study E



## Implementation process

A business process re-engineering team was set up, with ten staff of different grades, working alongside senior managers to design the case management model in October 1997. This team was interviewed about working practices and completed questionnaires during the six-month consultation period. There were also awaydays and team meetings for other staff to discuss new roles. There were mixed views about the implementation process, particularly amongst Probation Officer grades in the more urban office. One Probation Officer said, *"We weren't presented with a compelling argument to compare the model with any other way of working."* The timing was also difficult as the model was launched during staff shortages and growing caseloads, which led to low staff morale and made initial group cohesion difficult.

Pre-Sentence Reports were written principally by the court team who also conducted risk and need assessments using ACE and OGRS. Cases were then transferred to the community supervision practitioner groups. Probation Officer Case managers were responsible for setting the supervision plan and ensuring appropriate referrals were made to those who delivered programmes or partnership work. Their role was also to ensure appointments were offered, enforcement maintained and objectives were reviewed in line with National Standards. They were also responsible for pre and post programme preparation and expected to attend programme reviews with tutors.

However, Probation Officers in the community supervision groups commented that they were still called on to write Pre-Sentence reports, carry out court duty, and cover throughcare work and therefore the model hadn't resolved their conflicting work priorities. As one Probation Officer commented, *"...Because we're the largest group they tend to use us as a resource pool, yet when we're short they expect us to be able to cope with that."* The need for staff flexibility meant some Probation Officers were also responsible for specific programmes, which included acting as a 'provider' as well as managing a caseload.

Probation Service Officers dealt with low risk of harm and reoffending cases, and also worked as programme tutors or undertook relevant tasks as delegated by the Probation Officer including appointment setting or home contact. The Probation Service Officer role seemed rather undefined with some variation in the types of tasks allocated by different Probation Officers. As one Probation Service Officer commented, *"The work we do depends, as some Probation Officers don't like to delegate and deal with everything themselves."* In some cases Probation Service Officers had a minimal role with little task sharing, while in others they were working with medium risk of harm cases, writing supervision plans, helping with motivation work and helping to take enforcement decisions. So although Probation Officers' retained ultimate responsibility for delegated cases, this meant different things in different practitioner groups. Both grades were line managed by a Senior Probation Officer.

Case administrators had a reasonably full involvement in the case management process. They recorded information on contact and attendance, typed pre-sentence reports, input information into

CRAMS, prompted supervision reviews and assisted with breach action. Administrators reported being happier with their new role, *“Now we’re working with a specific group of people and helping with a designated caseload rather than acting in a pooled way.”* They reported greater awareness of what happened to cases because they dealt with a smaller, more manageable group. However, some case administrators worked across several practitioner groups, due to staffing levels. In some groups their role was clearly valued, with staff recognising them as the person with the greatest overall knowledge about what was happening with the group’s caseload. However, unlike case study area B, the administrators didn’t have much face to face contact with offenders and therefore were unlikely to be able to build a rapport with them.

## Staff attitudes and experiences of the model

According to senior managers, the introduction of the model and practitioner groups had helped to improve staff communication and support, making work with offenders more collaborative and structured. Staff were more focused on delivering specific tasks and as a result morale was higher and staff had lower stress levels. This was certainly echoed by staff views in the less urban office, who were positive about the benefits of the model and the fact that they could now share their workload. They also valued the work of all colleagues in the team.

Weekly team meetings were widely used as a tool for enhancing the team-based approach, where the Probation Officer, Probation Service Officer and case administrator discussed and assessed offender progress and collectively contributed to the management of the individual cases. The use of CRAMS by all grades of staff and teams was also an important development in helping the teams communicate about cases.

Senior management reported that the Practitioner Groups had also enhanced their ability to manage cases. While Probation Officers had previously managed 40 cases each, the typical practitioner group with two Probation Officers and other staff could now manage an average of 100 cases at a time, and increase of 25 per cent. However, it was not clear whether the team based approach and increase in caseloads had been beneficial to the quality of supervision, offender attendance or completions of orders. Staff also reported that the size of the team was critical to its success and that the optimum size of the practitioner groups should be no more than 3 Probation Officers, 2 Probation Service Officers and a case manager with a caseload of around 100 offenders. Otherwise it became difficult to share information with the team and to keep track of the progress of different offenders.

Several issues had not been resolved in case study E, despite being a relatively mature model. Probation Officers in the more urban team still did not appear to be fully engaging with the practitioner groups, with some delegating more tasks to Probation Service Officers than others. Acceptance by Probation Officers was key for the team-based model to work effectively and if they did not want to share information or knowledge about offenders it became unworkable. This may reflect the fact that senior managers did not make the benefits of the model clear during the implementation process, but also that the role of Probation Service Officers was not as clearly defined in this case study area as in the other areas visited. Probation Officers felt they were *“...losing sight of the overall picture with offenders.”* They also seemed confused about their overall case management responsibility and how far they were responsible for cases that were delegated to *“unqualified staff”*. Managers still needed to encourage staff that there were other ways of demonstrating their ability than individually delivering the entire supervision and intervention with offenders.

Senior management viewed the new way of working as making better use of individual skills and therefore more effective use of staff generally. However, Probation Officers reported the fear of de-skilling with the separation of case management commissioning and delivery functions, *“A colleague had to write a report for the courts which she hadn’t done for seven years, so by getting so much specialisation, you risk de-skilling...”* (Probation Officer).

## Offender experiences

One Offender in this area highlighted the importance of sustained contact with the case manager, which enabled needs to be eventually identified and inputs sought from other agencies. *“First it was a long time until we found the problem...when he found the problem he worked on it...A couple of times I didn’t want to come in, but he was trying to get to the bottom of what it was and I’m glad he did...he referred me to the Alcohol Advice Service and between him and the alcohol adviser they’ve turned my life around.”*

## Appendix 2: Survey of case management model results

*Table A2.1: Case management tasks carried out by Probation Service Officers, by model type*

Case management tasks	Case management models		
	Specialist	Generic	Hybrid
Conducting risk and need assessment	3	4	2
Devising supervision plan	6	4	
Co-ordinating and sequencing work	7	7	1
Referral to offending behaviour programmes	3	3	
Referral to voluntary and statutory partners	12	9	2
Other supervision work	13	9	2
Reviewing progress with supervision plan	6	5	3
Managing contact	13	10	3
Managing attendance	13	10	1
Managing enforcement	13	8	2
Total number of models	15	13	3

*Table A2.2: Case management tasks carried out by administrators, by model type*

Case management tasks	Case management models		
	Specialist	Generic	Hybrid
Conducting risk and need assessment			
Devising supervision plan			
Co-ordinating and sequencing work	1	1	
Referral to offending behaviour programmes	1	1	
Referral to voluntary and statutory partners	3		1
Other supervision work			1
Reviewing progress with supervision plan			1
Managing contact	9	5	3
Managing attendance	10	3	3
Managing enforcement	6	4	1
Total number of models	15	13	3

*Table A2.3: The benefits of specific types of model*

Benefits	<i>Case management models</i>		
	Specialist	Generic	Hybrid
Better use of Probation Officer resources	10	6	
Matching offenders to interventions	6	6	1
More integrated supervision throughout the order	1	5	1
Improved National Standards performance	2	2	
Better risk assessments	4		
Better support for practitioners	2	1	
Better programme delivery	2		
Total number of models	15	13	3

*Table A2.4: The disadvantages of specific models*

Disadvantages	<i>Case management models</i>		
	Specialist	Generic	Hybrid
Rate and size of change	4	1	
Communication issues	3	3	
Staff anxiety	1	2	1
Reduction in staff satisfaction/de-skilling	4	1	
More resource intensive running the model	3	1	
Changes in supervising officer for offenders	3	1	
High caseloads	1	2	
Invisibility of caseload (Probation Officer has responsibility for case but may not see them/supervise them)	1	1	1
Insufficient programme structure	1	1	
Probation Service Officers not qualified to conduct some of their work	1		
Less flexibility		1	
Accountability issues		1	
None	2	2	
Total number of models	15	13	3

Table A2.5: HMP Measure of Effectiveness data: Pre-sentence reports

Performance inspection programme	Excellent	Difference between pip percentage score and group average	Satis/ge	Difference between PIP percentage score and group average	Not satis/nge *	Difference between PIP percentage score and group average	V poor *	Difference between pip percentage score and group average	Sum of differences	Average difference
Bedfordshire	16%	7.00%	71%	8.00%	13%	12.00%	0%	-3.00%	24%	6%
Cambridgeshire	17%	8.00%	77%	14.00%	5%	20.00%	2%	-1.00%	41%	10%
Cheshire	3%	-6.00%	50%	-13.00%	35%	-10.00%	12%	9.00%	-20%	-5%
Cumbria	15%	6.00%	53%	-10.00%	30%	-5.00%	2%	-1.00%	-10%	-3%
Essex	8%	-1.00%	40%	-23.00%	37%	-12.00%	15%	12.00%	-24%	-6%
Gloucestershire	5%	-4.00%	82%	19.00%	14%	11.00%	0%	-3.00%	23%	6%
Hampshire	7%	-2.00%	63%	0.00%	30%	-5.00%	0%	-3.00%	-10%	-3%
Hereford & Worcester	12%	3.00%	67%	4.00%	19%	6.00%	2%	-1.00%	12%	3%
Hertfordshire	12%	3.00%	57%	-6.00%	30%	-5.00%	2%	-1.00%	-9%	-2%
Humber-side	7%	-2.00%	66%	3.00%	23%	2.00%	4%	1.00%	4%	1%
Lancashire	2%	-7.00%	47%	-16.00%	48%	-23.00%	4%	1.00%	-45%	-11%
Leicestershire & Rutland	12%	3.00%	72%	9.00%	16%	9.00%	0%	-3.00%	18%	5%
Merseyside	10%	1.00%	72%	9.00%	17%	8.00%	2%	-1.00%	17%	4%
Norfolk	6%	-3.00%	53%	-10.00%	32%	-7.00%	8%	5.00%	-15%	-4%
Northamptonshire	1%	-8.00%	52%	-11.00%	42%	-17.00%	4%	1.00%	-35%	-9%
Northumbria	2%	-7.00%	54%	-9.00%	41%	-16.00%	3%	0.00%	-32%	-8%
Nottinghamshire	4%	-5.00%	66%	3.00%	28%	-3.00%	1%	-2.00%	-7%	-2%
Staffordshire	8%	-1.00%	79%	16.00%	13%	12.00%	0%	-3.00%	24%	6%
Suffolk	16%	7.00%	66%	3.00%	19%	6.00%	0%	-3.00%	13%	3%
Surrey	8%	-1.00%	75%	12.00%	16%	9.00%	0%	-3.00%	17%	4%
Teesside	16%	7.00%	66%	3.00%	18%	7.00%	0%	-3.00%	14%	4%
Warwickshire	15%	6.00%	82%	19.00%	3%	22.00%	0%	-3.00%	44%	11%
West Midlands	5%	-4.00%	47%	-16.00%	45%	-20.00%	3%	0.00%	-40%	-10%
West Yorkshire	0%	-9.00%	52%	-11.00%	38%	-13.00%	10%	7.00%	-26%	-7%
Wiltshire	10%	1.00%	75%	12.00%	15%	10.00%	0%	-3.00%	20%	5%
Average	9%	0%	63%	0%	25%	0%	3%	0%		

*Table A2.6 Pre-Sentence Reports*

Performance Inspection Programme (PIP)	Average difference	Categorical bandings
Bedfordshire	6.00%	Above average
Cambridgeshire	10.25%	Above average
Cheshire	-5.00%	Average
Cumbria	-2.50%	Average
Essex	-6.00%	Below average
Gloucestershire	5.75%	Above average
Hampshire	-2.50%	Average
Hereford & Worcester	3.00%	Average
Hertfordshire	-2.25%	Average
Humberside	1.00%	Average
Lancashire	-11.25%	Below average
Leicestershire & Rutland	4.50%	Average
Merseyside	4.25%	Average
Norfolk	-3.75%	Average
Northamptonshire	-8.75%	Below average
Northumbria	-8.00%	Below average
Nottinghamshire	-1.75%	Average
Staffordshire	6.00%	Above average
Suffolk	3.25%	Average
Surrey	4.25%	Average
Teesside	3.50%	Average
Warwickshire	11.00%	Above average
West Midlands	-10.00%	Below average
West Yorkshire	-6.50%	Below average
Wiltshire	5.00%	Above average



Table A2.7: HMIP Measure of Effectiveness data: Combination orders - effectiveness of supervision

Performance Inspection Programme	Supervision plan "definitely" addresses order as a whole	Difference between pip percentage score and group average	Quarterly reviews always refer to progress of both parts of the order	Difference between pip percentage score and group average	Appropriate communication between supervising officers about progress of order, including enforcement	Difference between pip percentage score and group average	Sum of differences	Average difference
Bedfordshire	22%	-8.00%	42%	-1.00%	38%	-11.00%	-20.00%	-6.67%
Cambridgeshire	27%	-3.00%	46%	3.00%	46%	-3.00%	-3.00%	-1.00%
Cheshire	33%	3.00%	30%	-13.00%	37%	-12.00%	-22.00%	-7.33%
Cumbria	16%	-14.00%	14%	-29.00%	42%	-7.00%	-50.00%	-16.67%
Essex	25%	-5.00%	50%	7.00%	44%	-5.00%	-3.00%	-1.00%
Gloucestershire	23%	-7.00%	55%	12.00%	60%	11.00%	16.00%	5.33%
Hampshire	23%	-7.00%	55%	12.00%	68%	19.00%	24.00%	8.00%
Hereford & Worcester	41%	11.00%	48%	5.00%	41%	-8.00%	8.00%	2.67%
Hertfordshire	42%	12.00%	80%	37.00%	59%	10.00%	59.00%	19.67%
Humberside	17%	-13.00%	12%	-31.00%	40%	-9.00%	-53.00%	-17.67%
Lancashire	58%	28.00%	73%	30.00%	81%	32.00%	90.00%	30.00%
Leicestershire & Rutland	13%	-17.00%	25%	-18.00%	31%	-18.00%	-53.00%	-17.67%
Merseyside	43%	13.00%	54%	11.00%	45%	-4.00%	20.00%	6.67%
Norfolk	18%	-12.00%	44%	1.00%	41%	-8.00%	-19.00%	-6.33%
Northamptonshire	33%	3.00%	18%	-25.00%	48%	-1.00%	-23.00%	-7.67%
Northumbria	19%	-11.00%	14%	-29.00%	53%	4.00%	-36.00%	-12.00%
Nottinghamshire	27%	-3.00%	22%	-21.00%	48%	-1.00%	-25.00%	-8.33%
Staffordshire	45%	15.00%	30%	-13.00%	54%	5.00%	7.00%	2.33%
Suffolk	18%	-12.00%	46%	3.00%	40%	-9.00%	-18.00%	-6.00%
Surrey	21%	-9.00%	62%	19.00%	38%	-11.00%	-1.00%	-0.33%
Teesside	54%	24.00%	56%	13.00%	77%	28.00%	65.00%	21.67%
Warwickshire	47%	17.00%	70%	27.00%	50%	1.00%	45.00%	15.00%
West Midlands	21%	-9.00%	11%	-32.00%	21%	-28.00%	-69.00%	-23.00%
West Yorkshire	42%	12.00%	60%	17.00%	64%	15.00%	44.00%	14.67%
Wiltshire	30%	0.00%	61%	18.00%	55%	6.00%	24.00%	8.00%
Average	30%	0%	43%	0%	49%	0%		

*Table A2.8: Combination orders: effectiveness of supervision*

Performance Inspection Programme	Average difference	Categorical bandings
Bedfordshire	-6.67%	Average
Cambridgeshire	-1.00%	Average
Cheshire	-7.33%	Average
Cumbria	-16.67%	Below average
Essex	-1.00%	Average
Gloucestershire	5.33%	Average
Hampshire	8.00%	Average
Hereford & Worcester	2.67%	Average
Hertfordshire	19.67%	Above average
Humberside	-17.67%	Below average
Lancashire	30.00%	Above average
Leicestershire & Rutland	-17.67%	Below average
Merseyside	6.67%	Average
Norfolk	-6.33%	Average
Northamptonshire	-7.67%	Average
Northumbria	-12.00%	Below average
Nottinghamshire	-8.33%	Below average
Staffordshire	2.33%	Average
Suffolk	-6.00%	Average
Surrey	-0.33%	Average
Teeside	21.67%	Above average
Warwickshire	15.00%	Above average
West Midlands	-23.00%	Below average
West Yorkshire	14.67%	Above average
Wiltshire	8.00%	Average

Table A2.9: Community rehabilitation: contact

Performance Inspection Programme	First appointment arranged to take place within five working days	Difference between pip percentage score and group average	First appointment took place within five working days	Difference between pip percentage score and group average	12 appointments took place in first three months	Difference between pip percentage score and group average	Six appointments took place in second three months	Difference between pip percentage score and group average	Sum of differences	Average difference
Bedfordshire	89%	5.00%	84%	8.00%	37%	2.00%	59%	5.00%	20.00%	5.00%
Cambridgeshire	95%	11.00%	79%	3.00%	47%	12.00%	51%	-3.00%	23.00%	5.75%
Cheshire	78%	-6.00%	70%	-6.00%	13%	-22.00%	28%	-26.00%	-60.00%	-15.00%
Cumbria	88%	4.00%	86%	10.00%	26%	-9.00%	51%	-3.00%	2.00%	0.50%
Essex	84%	0.00%	74%	-2.00%	24%	-11.00%	47%	-7.00%	-20.00%	-5.00%
Gloucestershire	86%	2.00%	85%	9.00%	47%	12.00%	66%	12.00%	35.00%	8.75%
Hampshire	90%	6.00%	78%	2.00%	43%	8.00%	58%	4.00%	20.00%	5.00%
Hereford & Worcester	85%	1.00%	79%	3.00%	59%	24.00%	70%	16.00%	44.00%	11.00%
Hertfordshire	85%	1.00%	74%	-2.00%	41%	6.00%	71%	17.00%	22.00%	5.50%
Humberside	79%	-5.00%	69%	-7.00%	16%	-19.00%	31%	-23.00%	-54.00%	-13.50%
Lancashire	87%	3.00%	68%	-8.00%	27%	-8.00%	34%	-20.00%	-33.00%	-8.25%
Leicestershire & Rutland	93%	9.00%	90%	14.00%	50%	15.00%	69%	15.00%	53.00%	13.25%
Merseyside	89%	5.00%	77%	1.00%	26%	-9.00%	46%	-8.00%	-11.00%	-2.75%
Norfolk	82%	-2.00%	73%	-3.00%	53%	18.00%	68%	14.00%	27.00%	6.75%
Northamptonshire	77%	-7.00%	74%	-2.00%	31%	-4.00%	51%	-3.00%	-16.00%	-4.00%
Northumbria	73%	-11.00%	73%	-3.00%	27%	-8.00%	52%	-2.00%	-24.00%	-6.00%
Nottinghamshire	85%	1.00%	79%	3.00%	25%	-10.00%	47%	-7.00%	-13.00%	-3.25%
Staffordshire	77%	-7.00%	63%	-13.00%	23%	-12.00%	46%	-8.00%	-40.00%	-10.00%
Suffolk	82%	-2.00%	66%	-10.00%	24%	-11.00%	56%	2.00%	-21.00%	-5.25%
Surrey	90%	6.00%	77%	1.00%	54%	19.00%	63%	9.00%	35.00%	8.75%
Teesside	85%	1.00%	81%	5.00%	56%	21.00%	59%	5.00%	32.00%	8.00%
Warwickshire	94%	10.00%	90%	14.00%	34%	-1.00%	54%	0.00%	23.00%	5.75%
West Midlands	70%	-14.00%	65%	-11.00%	18%	-17.00%	42%	-12.00%	-54.00%	-13.50%
West Yorkshire	80%	-4.00%	74%	-2.00%	37%	2.00%	61%	7.00%	3.00%	0.75%
Wiltshire	86%	2.00%	78%	2.00%	48%	13.00%	62%	8.00%	25.00%	6.25%
Average	84%	0%	76%	0%	35%	0%	54%	0%		

*Table A2.10: Community rehabilitation: contact*

Performance Inspection Programme	Average difference	Categorical bandings
Bedfordshire	5.00%	Average
Cambridgeshire	5.75%	Average
Cheshire	-15.00%	Below average
Cumbria	0.50%	Average
Essex	-5.00%	Average
Gloucestershire	8.75%	Above average
Hampshire	5.00%	Average
Hereford & Worcester	11.00%	Above average
Hertfordshire	5.50%	Average
Humberside	-13.50%	Below average
Lancashire	-8.25%	Below average
Leicestershire & Rutland	13.25%	Above average
Merseyside	-2.75%	Average
Norfolk	6.75%	Above average
Northamptonshire	-4.00%	Average
Northumbria	-6.00%	Below average
Nottinghamshire	-3.25%	Average
Staffordshire	-10.00%	Below average
Suffolk	-5.25%	Average
Surrey	8.75%	Above average
Teesside	8.00%	Above average
Warwickshire	5.75%	Average
West Midlands	-13.50%	Below average
West Yorkshire	0.75%	Average
Wiltshire	6.25%	Average

*Table A2.11: Community rehabilitation orders: supervision*

Performance Inspection Programme	Supervision plan prepared	Difference between pip percentage score and group average	Risk assessment of reoffending	Difference between pip percentage score and group average	Risk assessment of harm to the public	Difference between pip percentage score and group average	Quarterly review of supervision plan	Difference between pip percentage score and group average	Sum of differences	Average difference
Bedfordshire	100%	6.00%	90%	19.00%	82%	8.00%	78%	17.00%	50.00%	12.50%
Cambridgeshire	98%	4.00%	82%	11.00%	63%	-11.00%	55%	-6.00%	-2.00%	-0.50%
Cheshire	84%	-10.00%	17%	-54.00%	59%	-15.00%	67%	6.00%	-73.00%	-18.25%
Cumbria	100%	6.00%	73%	2.00%	90%	16.00%	51%	-10.00%	14.00%	3.50%
Essex	90%	-4.00%	58%	-13.00%	40%	-34.00%	32%	-29.00%	-80.00%	-20.00%
Gloucestershire	100%	6.00%					62%	1.00%	7.00%	1.75%
Hampshire	98%	4.00%					75%	14.00%	18.00%	4.50%
Hereford & Worcester	100%	6.00%	92%	21.00%	93%	19.00%	88%	27.00%	73.00%	18.25%
Hertfordshire	88%	-6.00%	67%	-4.00%	68%	-6.00%	53%	-8.00%	-24.00%	-6.00%
Humberside	90%	-4.00%	78%	7.00%	83%	9.00%	35%	-26.00%	-14.00%	-3.50%
Lancashire	97%	3.00%	76%	5.00%	90%	16.00%	55%	-6.00%	18.00%	4.50%
Leicestershire & Rutland	82%	-12.00%	74%	3.00%	75%	1.00%	52%	-9.00%	-17.00%	-4.25%
Merseyside	89%	-5.00%	50%	-21.00%	75%	1.00%	68%	7.00%	-18.00%	-4.50%
Norfolk	97%	3.00%	81%	10.00%	90%	16.00%	76%	15.00%	44.00%	11.00%
Northamptonshire	91%	-3.00%	92%	21.00%	65%	-9.00%	62%	1.00%	10.00%	2.50%
Northumbria	94%	0.00%	66%	-5.00%	62%	-12.00%	63%	2.00%	-15.00%	-3.75%
Nottinghamshire	96%	2.00%	71%	0.00%	72%	-2.00%	53%	-8.00%	-8.00%	-2.00%
Staffordshire	100%	6.00%	63%	-8.00%	80%	6.00%	29%	-32.00%	-28.00%	-7.00%
Suffolk	95%	1.00%	48%	-23.00%	79%	5.00%	61%	0.00%	-17.00%	-4.25%
Surrey	100%	6.00%					77%	16.00%	22.00%	5.50%
Teesside	100%	6.00%	95%	24.00%	93%	19.00%	88%	27.00%	76.00%	19.00%
Warwickshire	96%	2.00%	98%	27.00%	100%	26.00%	63%	2.00%	57.00%	14.25%
West Midlands	92%	-2.00%	56%	-15.00%	42%	-32.00%	54%	-7.00%	-56.00%	-14.00%
West Yorkshire	85%	-9.00%	62%	-9.00%	61%	-13.00%	42%	-19.00%	-50.00%	-12.50%
Wiltshire	98%	4.00%					76%	15.00%	19.00%	4.75%
<b>Average</b>	<b>94%</b>	<b>0%</b>	<b>71%</b>	<b>0%</b>	<b>74%</b>	<b>0%</b>	<b>61%</b>	<b>0%</b>		

*Table A2.12: Community rehabilitation orders: supervision*

Performance inspection programme	Average difference	Categorical bandings
Bedfordshire	12.50%	Above average
Cambridgeshire	-0.50%	Average
Cheshire	-18.25%	Below average
Cumbria	3.50%	Average
Essex	-20.00%	Below average
Gloucestershire	1.75%	Average
Hampshire	4.50%	Average
Hereford & Worcester	18.25%	Above average
Hertfordshire	-6.00%	Below average
Humberside	-3.50%	Average
Lancashire	4.50%	Average
Leicestershire & Rutland	-4.25%	Average
Merseyside	-4.50%	Average
Norfolk	11.00%	Above average
Northamptonshire	2.50%	Average
Northumbria	-3.75%	Average
Nottinghamshire	-2.00%	Average
Staffordshire	-7.00%	Below average
Suffolk	-4.25%	Average
Surrey	5.50%	Above average
Teesside	19.00%	Above average
Warwickshire	14.25%	Above average
West Midlands	-14.00%	Below average
West Yorkshire	-12.50%	Below average
Wiltshire	4.75%	Average

RANGE Min:	-20.00%	
RANGE Max:	19.00%	
Average	-0.46%	

Quartile 25	-4.50%	
Quartile 50	-0.50%	
Quartile 75	4.75%	

**Table A2.13: Community rehabilitation: enforcement**

Performance Inspection Programme	Action always taken within two days to obtain explanation for failures to attend	Difference between pip percentage score and group average	Offenders explanation (or lack) always clearly recorded	Difference between pip percentage score and group average	Po's view of acceptable/unacceptable failures always clearly recorded	Difference between pip percentage score and group average	Breach action clearly taken as a result of, or before, third unacceptable failure	Difference between pip percentage score and group average	Manager's authorisation not to breach on third failure recorded	Difference between pip percentage score and group average	Sum of differences	Average difference
Bedfordshire	40%	-12.00%	55%	4.00%	52%	4.00%	38%	1.00%	8%	-10.0%	-13.00%	-2.60%
Cambridgeshire	40%	-12.00%	40%	-11.00%	65%	17.00%	50%	13.00%	0%	-18.0%	-11.00%	-2.20%
Cheshire	29%	-23.00%	33%	-18.00%	33%	-15.00%	27%	-10.00%	3%	-15.0%	-81.00%	-16.20%
Cumbria	80%	28.00%	59%	8.00%	55%	7.00%	60%	23.00%	38%	20.0%	86.00%	17.20%
Essex	36%	-16.00%	40%	-11.00%	34%	-14.00%	18%	-19.00%	8%	-10.0%	-70.00%	-14.00%
Gloucestershire	62%	10.00%	51%	0.00%	61%	13.00%	71%	34.00%	0%	-18.0%	39.00%	7.80%
Hampshire	51%	-1.00%	63%	12.00%	65%	17.00%	13%	-24.00%	15%	-3.0%	1.00%	0.20%
Hereford & Worcester	64%	12.00%	70%	19.00%	70%	22.00%	39%	2.00%	18%	0.0%	55.00%	11.00%
Hertfordshire	46%	-6.00%	60%	9.00%	47%	-1.00%	25%	-12.00%	5%	-13.0%	-23.00%	-4.60%
Humberside	56%	4.00%	58%	7.00%	44%	-4.00%	30%	-7.00%	27%	9.0%	9.00%	1.80%
Lancashire	56%	4.00%	65%	14.00%	56%	8.00%	49%	12.00%	22%	4.0%	42.00%	8.40%
Leicestershire & Rutland	56%	4.00%	57%	6.00%	65%	17.00%	50%	13.00%	33%	15.0%	55.00%	11.00%
Merseyside	50%	-2.00%	56%	5.00%	55%	7.00%	45%	8.00%	25%	7.0%	25.00%	5.00%
Norfolk	68%	16.00%	59%	8.00%	56%	8.00%	29%	-8.00%	25%	7.0%	31.00%	6.20%
Northamptonshire	33%	-19.00%	38%	-13.00%	23%	-25.00%	42%	5.00%	5%	-13.0%	-65.00%	-13.00%
Northumbria	47%	-5.00%	22%	-29.00%	35%	-13.00%	27%	-10.00%	18%	0.0%	-57.00%	-11.40%
Nottinghamshire	48%	-4.00%	42%	-9.00%	37%	-11.00%	19%	-18.00%	17%	-1.0%	-43.00%	-8.60%
Staffordshire	55%	3.00%	55%	4.00%	48%	0.00%	52%	15.00%	27%	9.0%	31.00%	6.20%
Suffolk	43%	-9.00%	43%	-8.00%	37%	-11.00%	4%	-33.00%	10%	-8.0%	-69.00%	-13.80%
Surrey	73%	21.00%	65%	14.00%	58%	10.00%	41%	4.00%	14%	-4.0%	45.00%	9.00%
Teesside	77%	25.00%	55%	4.00%	42%	-6.00%	40%	3.00%	52%	34.0%	60.00%	12.00%
Warwickshire	55%	3.00%	51%	0.00%	42%	-6.00%	23%	-14.00%	20%	2.0%	-15.00%	-3.00%
West Midlands	32%	-20.00%	37%	-14.00%	26%	-22.00%	26%	-11.00%	4%	-14.0%	-81.00%	-16.20%
West Yorkshire	46%	-6.00%	40%	-11.00%	42%	-6.00%	39%	2.00%	20%	2.0%	-19.00%	-3.80%
Wiltshire	64%	12.00%	57%	6.00%	56%	8.00%	77%	40.00%	25%	7.0%	73.00%	14.60%
Average	52%	0%	51%	0%	48%	0%	37%	0%	18%	0%		

*Table A2.14: Community rehabilitation orders: enforcement*

Performance Inspection Programme	Average difference	Categorical bandings
Bedfordshire	-2.60%	Average
Cambridgeshire	-2.20%	Average
Cheshire	-16.20%	Below average
Cumbria	17.20%	Above average
Essex	-14.00%	Below average
Gloucestershire	7.80%	Average
Hampshire	0.20%	Average
Hereford & Worcester	11.00%	Above average
Hertfordshire	-4.60%	Average
Humberside	1.80%	Average
Lancashire	8.40%	Average
Leicestershire & Rutland	11.00%	Above average
Merseyside	5.00%	Average
Norfolk	6.20%	Average
Northamptonshire	-13.00%	Below average
Northumbria	-11.40%	Below average
Nottinghamshire	-8.60%	Average
Staffordshire	6.20%	Average
Suffolk	-13.80%	Below average
Surrey	9.00%	Above average
Teeside	12.00%	Above average
Warwickshire	-3.00%	Average
West Midlands	-16.20%	Below average
West Yorkshire	-3.80%	Average
Wiltshire	14.60%	Above average



Table A2.15: High risk cases: contact

Performance inspection programme	Initial contact met requirements of the national standard	Difference between pip percentage score and group average	Required number of meetings offered in first three months	Difference between pip percentage score and group average	Required number of meetings took place in first three months	Difference between pip percentage score and group average	Sum of differences	Average difference
Bedfordshire	91%	8.00%	73%	7.00%	50%	2.00%	17%	6%
Cambridgeshire	71%	-12.00%	83%	17.00%	50%	2.00%	-14%	-5%
Cheshire	88%	5.00%	46%	-20.00%	29%	-19.00%	17%	6%
Cumbria	85%	2.00%	90%	24.00%	80%	32.00%	13%	4%
Essex	88%	5.00%	53%	-13.00%	35%	-13.00%	-21%	-7%
Gloucestershire	91%	8.00%	43%	-23.00%	35%	-13.00%	14%	5%
Hampshire	86%	3.00%	85%	19.00%	77%	29.00%	47%	16%
Hereford & Worcester	90%	7.00%	88%	22.00%	73%	25.00%	31%	10%
Hertfordshire	83%	0.00%	73%	7.00%	50%	2.00%	-19%	-6%
Humberside	83%	0.00%	34%	-32.00%	22%	-26.00%	-55%	-18%
Lancashire	81%	-2.00%	50%	-16.00%	25%	-23.00%	-24%	-8%
Leicestershire & Rutland	88%	5.00%	67%	1.00%	42%	-6.00%	11%	4%
Merseyside	85%	2.00%	63%	-3.00%	53%	5.00%	-1%	0%
Norfolk	83%	0.00%	65%	-1.00%	48%	0.00%	18%	6%
Northamptonshire	83%	0.00%	83%	17.00%	67%	19.00%	9%	3%
Northumbria	80%	-3.00%	55%	-11.00%	40%	-8.00%	-6%	-2%
Nottinghamshire	92%	9.00%	76%	10.00%	56%	8.00%	4%	1%
Staffordshire	75%	-8.00%	58%	-8.00%	33%	-15.00%	-26%	-9%
Suffolk	89%	6.00%	88%	22.00%	38%	-10.00%	23%	8%
Surrey	81%	-2.00%	60%	-6.00%	43%	-5.00%	15%	5%
Teesside	71%	-12.00%	76%	10.00%	71%	23.00%	3%	1%
Warwickshire	91%	8.00%	74%	8.00%	53%	5.00%	-3%	-1%
West Midlands	65%	-18.00%	53%	-13.00%	29%	-19.00%	-31%	-10%
West Yorkshire	81%	-2.00%	62%	-4.00%	48%	0.00%	-4%	-1%
Wiltshire	83%	0.00%	50%	-16.00%	50%	2.00%	-16%	-5%
<b>Average</b>	<b>83%</b>	<b>0%</b>	<b>66%</b>	<b>0%</b>	<b>48%</b>	<b>0%</b>		

*Table A2.16: High risk of harm: contact*

Performance inspection programme	Average difference	Categorical bandings
Bedfordshire	5.67%	Above average
Cambridgeshire	-4.67%	Average
Cheshire	5.67%	Above average
Cumbria	4.33%	Average
Essex	-7.00%	Below average
Gloucestershire	4.67%	Average
Hampshire	15.67%	Above average
Hereford & Worcester	10.33%	Above average
Hertfordshire	-6.33%	Below average
Humberside	-18.33%	Below average
Lancashire	-8.00%	Below average
Leicestershire & Rutland	3.67%	Average
Merseyside	-0.33%	Average
Norfolk	6.00%	Above average
Northamptonshire	3.00%	Average
Northumbria	-2.00%	Average
Nottinghamshire	1.33%	Average
Staffordshire	-8.67%	Below average
Suffolk	7.67%	Above average
Surrey	5.00%	Average
Teesside	1.00%	Average
Warwickshire	-1.00%	Average
West Midlands	-10.33%	Below average
West Yorkshire	-1.33%	Average
Wiltshire	-5.37%	Average

Table A2.17: High risk cases: supervision

Performance inspection programme	Supervision plan prepared	Difference between pip percentage score and group average	Risk assessment of reoffending	Difference between pip percentage score and group average	Risk assessment of harm to the public	Difference between pip percentage score and group average	Review of supervision plan quarterly	Difference between pip percentage score and group average	Sum of differences	Average difference
Bedfordshire	91%	2.00%	83%	10.0%	73%	-9.00%	61%	7.00%	10%	3%
Cambridgeshire	100%	11.00%	71%	-2.0%	57%	-25.00%	43%	-11.00%	-27%	-7%
Cheshire	80%	-9.00%	30%	-43.0%	84%	2.00%	79%	25.00%	-25%	-6%
Cumbria	100%	11.00%	75%	2.0%	95%	13.00%	55%	1.00%	27%	7%
Essex	94%	5.00%	50%	-23.0%	56%	-26.00%	38%	-16.00%	-60%	-15%
Gloucestershire	100%	11.00%							11%	3%
Hampshire	93%	4.00%							4%	1%
Hereford & Worcester	98%	9.00%	92%	19.0%	94%	12.00%	84%	30.00%	70%	18%
Hertfordshire	74%	-15.00%	82%	9.0%	91%	9.00%	39%	-15.00%	-12%	-3%
Humberside	70%	-19.00%	56%	-17.0%	78%	-4.00%	28%	-26.00%	-66%	-17%
Lancashire	95%	6.00%	80%	7.0%	86%	4.00%	53%	-1.00%	16%	4%
Leicestershire & Rutland	72%	-17.00%	87%	14.0%	78%	-4.00%	33%	-21.00%	-28%	-7%
Merseyside	100%	11.00%	90%	17.0%	100%	18.00%	79%	25.00%	71%	18%
Norfolk	91%	2.00%	77%	4.0%	78%	-4.00%	57%	3.00%	5%	1%
Northamptonshire	67%	-22.00%	100%	27.0%	83%	1.00%	36%	-18.00%	-12%	-3%
Northumbria	89%	0.00%	63%	-10.0%	75%	-7.00%	78%	24.00%	7%	2%
Nottinghamshire	69%	-20.00%	72%	-1.0%	77%	-5.00%	52%	-2.00%	-28%	-7%
Staffordshire	97%	8.00%	61%	-12.0%	82%	0.00%	61%	7.00%	3%	1%
Suffolk	100%	11.00%	56%	-17.0%	89%	7.00%	44%	-10.00%	-9%	-2%
Surrey	94%	5.00%							5%	1%
Teesside	100%	11.00%	89%	16.0%	100%	18.00%	83%	29.00%	74%	19%
Warwickshire	82%	-7.00%	88%	15.0%	94%	12.00%	45%	-9.00%	11%	3%
West Midlands	88%	-1.00%	65%	-8.0%	65%	-17.00%	53%	-1.00%	-27%	-7%
West Yorkshire	86%	-3.00%	63%	-10.0%	86%	4.00%	37%	-17.00%	-26%	-7%
Wiltshire	100%	11.00%							11%	3%
Average	89%	0%	73%	0%	82%	0%	54%	0%		

*Table A2.18: High risk of harm: supervision*

Performance inspection programme	Average difference	Categorical banding
Bedfordshire	2.50%	Average
Cambridgeshire	-6.75%	Average
Cheshire	-6.25%	Average
Cumbria	6.75%	Above average
Essex	-15.00%	Below average
Gloucestershire	2.75%	Average
Hampshire	1.00%	Average
Hereford & Worcester	17.50%	Above average
Hertfordshire	-3.00%	Average
Humberside	-16.50%	Below average
Lancashire	4.00%	Above average
Leicestershire & Rutland	-7.00%	Below average
Merseyside	17.75%	Above average
Norfolk	1.25%	Average
Northamptonshire	-3.00%	Average
Northumbria	1.75%	Average
Nottinghamshire	-7.00%	Below average
Staffordshire	0.75%	Average
Suffolk	-2.25%	Average
Surrey	1.25%	Average
Teesside	18.50%	Above average
Warwickshire	2.75%	Average
West Midlands	-6.75%	Below average
West Yorkshire	-6.50%	Average
Wiltshire	2.75%	Average

Table A2.19: High risk of harm: enforcement

Performance Inspection Programme	Where apparent failures, action always taken within two days to obtain explanation	Difference between pip percentage score and group average	Offenders explanation (or lack) always clearly recorded	Difference between pip percentage score and group average	Po's view of acceptable/ unacceptable absences clear	Difference between pip percentage score and group average	Breach action clearly taken as a result of, or before, third unacceptable failure	Difference between pip percentage score and group average	Manager's authorisation not to breach on third failure recorded	Difference between pip percentage score and group average	Sum of differences	Average difference
Bedfordshire	68%	5.00%	68%	10.0%	50%	-4.00%	33%	-18.00%	17%	-11.00%	-18%	-4%
Cambridgeshire	40%	-23.00%	50%	-8.0%	100%	46.00%	67%	16.00%	0%	-28.00%	3%	1%
Cheshire	60%	-3.00%	53%	-5.0%	40%	-14.00%	57%	6.00%	0%	-28.00%	-44%	-9%
Cumbria	93%	30.00%	86%	28.0%	79%	25.00%	60%	9.00%	0%	-28.00%	64%	13%
Essex	58%	-5.00%	75%	17.0%	40%	-14.00%	50%	-1.00%	100%	72.00%	69%	14%
Gloucestershire	50%	-13.00%	50%	-8.0%	64%	10.00%	71%	20.00%			9%	2%
Hampshire	50%	-13.00%	50%	-8.0%	75%	21.00%	80%	29.00%	0%	-28.00%	1%	0%
Hereford & Worcester	77%	14.00%	69%	11.0%	82%	28.00%	50%	-1.00%	20%	-8.00%	44%	9%
Hertfordshire	43%	-20.00%	50%	-8.0%	57%	3.00%	56%	5.00%	25%	-3.00%	-23%	-5%
Humberstone	50%	-13.00%	53%	-5.0%	31%	-23.00%	25%	-26.00%	20%	-8.00%	-75%	-15%
Lancashire	40%	-23.00%	47%	-11.0%	27%	-27.00%	50%	-1.00%	33%	5.00%	-57%	-11%
Leicestershire & Rutland	53%	-10.00%	56%	-2.0%	72%	18.00%	45%	-6.00%	67%	39.00%	39%	8%
Merseyside	71%	8.00%	71%	13.0%	57%	3.00%	67%	16.00%	0%	-28.00%	12%	2%
Norfolk	88%	25.00%	81%	23.0%	81%	27.00%	0%	-51.00%	67%	39.00%	63%	13%
Northamptonshire	57%	-6.00%	57%	-1.0%	43%	-11.00%	75%	24.00%	100%	72.00%	78%	16%
Northumbria	59%	-4.00%	29%	-29.0%	35%	-19.00%	56%	5.00%	25%	-3.00%	-50%	-10%
Nottinghamshire	70%	7.00%	65%	7.0%	33%	-21.00%	44%	-7.00%	33%	5.00%	-9%	-2%
Staffordshire	75%	12.00%	60%	2.0%	55%	1.00%	46%	-5.00%	33%	5.00%	15%	3%
Suffolk	62%	-1.00%	50%	-8.0%	50%	-4.00%	33%	-18.00%	0%	-28.00%	-59%	-12%
Surrey	86%	23.00%	57%	-1.0%	43%	-11.00%	75%	24.00%	0%	-28.00%	7%	1%
Teesside	73%	10.00%	54%	-4.0%	54%	0.00%	33%	-18.00%	75%	47.00%	35%	7%
Warwickshire	82%	19.00%	74%	16.0%	52%	-2.00%	17%	-34.00%	25%	-3.00%	-4%	-1%
West Midlands	50%	-13.00%	31%	-27.0%	15%	-39.00%	40%	-11.00%	0%	-28.00%	-118%	-24%
West Yorkshire	69%	6.00%	53%	-5.0%	44%	-10.00%	33%	-18.00%	0%	-28.00%	-55%	-11%
Wiltshire	50%	-13.00%	67%	9.0%	69%	15.00%	100%	49.00%			60%	12%
<b>Average</b>	<b>63%</b>	<b>0%</b>	<b>58%</b>	<b>0%</b>	<b>54%</b>	<b>0%</b>	<b>51%</b>	<b>0%</b>	<b>28%</b>	<b>0%</b>		

*Table A2.20: HIGH RISK OF HARM: ENFORCEMENT*

Performance Inspection Programme	Average difference	Categorical banding
Bedfordshire	-3.60%	Average
Cambridgeshire	0.60%	Average
Cheshire	-8.80%	Average
Cumbria	12.80%	Above average
Essex	13.80%	Above average
Gloucestershire	1.80%	Average
Hampshire	0.20%	Average
Hereford & Worcester	8.80%	Above average
Hertfordshire	-4.60%	Average
Humberside	-15.00%	Below average
Lancashire	-11.40%	Below average
Leicestershire & Rutland	7.80%	Average
Merseyside	2.40%	Average
Norfolk	12.60%	Above average
Northamptonshire	15.60%	Above average
Northumbria	-10.00%	Below average
Nottinghamshire	-1.80%	Average
Staffordshire	3.00%	Average
Suffolk	-11.80%	Below average
Surrey	1.40%	Average
Teesside	7.00%	Average
Warwickshire	-0.80%	Average
West Midlands	-23.60%	Below average
West Yorkshire	-11.00%	Below average
Wiltshire	12.00%	Above average

Table A2.21: HMIP: Frequency data on effectiveness

Pre Sentence Reports: overall performance

Model type	No of models	Below Average	Average	Above Average	Totals
Specialist	13	3	7	3	13
Generic	9	2	4	3	9
Hybrid	2	1	1	0	2
Totals	24	6	12	6	24

Community Rehabilitation Orders: contact

Model type	No of models	Below Average	Average	Above Average	Totals
Specialist	13	2	7	4	13
Generic	9	3	5	1	9
Hybrid	2	1	0	1	2
Totals	24	6	12	6	24

Community Rehabilitation: Supervision

Model type	No of models	Below Average	Average	Above Average	Totals
Specialist	13	3	6	4	13
Generic	9	2	5	2	9
Hybrid	2	1	1	0	2
Totals	24	6	12	6	24

Community Rehabilitation: Enforcement

Model type	No of models	Below Average	Average	Above Average	Totals
Specialist	13	4	6	3	13
Generic	9	2	6	1	9
Hybrid	2	1	0	1	2
Totals	24	7	12	5	24

Combination orders: Supervision

Model type	No of models	Below Average	Average	Above Average	Totals
Specialist	13	1	11	1	13
Generic	9	3	3	3	9
Hybrid	2	2	0	0	2
Totals	24	6	14	4	24

High risk of harm: contact

Model type	No of models	Below Average	Average	Above Average	Totals
Specialist	13	2	5	6	13
Generic	9	3	6	0	9
Hybrid	2	1	1	0	2
Totals	24	6	12	6	24

High risk of harm: supervision

Model type	No of models	Below Average	Average	Above Average	Totals
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Specialist	13	1	9	3	13
Generic	9	2	6	1	9
Hybrid	2	2	0	0	2
Totals	24	5	15	4	24

High risk of harm: enforcement

Model type	No of models	Below Average	Average	Above Average	Totals
Specialist	13	3	5	5	13
Generic	9	2	6	1	9
Hybrid	2	1	1	0	2
Totals	24	6	12	6	24



## Appendix 3: HMIP Performance measures

Four main measures of performance were selected for this analysis, including: the overall quality of Pre-Sentence Reports; the delivery of interventions identified in the supervision plan; as well as the level of contact and the enforcement of compliance with orders. This data was analysed for Community Rehabilitation Orders (CROs), Community Punishment and Rehabilitation Orders (CPROs) and high-risk cases.

The overall quality of Pre-Sentence Reports covers a range of information including:

- the timeliness of reports (number prepared within the National Standard requirement of 15 working days);
- the quality of the analysis and assessment of the causes of offending and offender needs;
- the assessment of risk of harm to the public and likelihood of reoffending; and
- the suitability and objectives of specific disposals.

For Community Rehabilitation Orders, Community Punishment and Rehabilitation Orders and high-risk cases the following measures were assessed.

The level of contact was measured according two main elements whether:

- appointments were 'arranged' to take in the first five working days, first three months and second three months; and
- whether appointments 'took' place within the first five working days, first three months and second three months.

The quality of supervision included covered four elements:

- a supervision plan was prepared and objectives were set;
- a risk assessment of likelihood of reoffending was conducted;
- a risk assessment of harm to the public was conducted; and
- a quarterly review of supervision plan took place.

The enforcement measures included five main elements including whether:

- action was always taken within two days to obtain explanation of failures to attend appointments;
- an offender's explanation (or lack of it) was always clearly recorded;
- Probation Officers' views of acceptable/unacceptable failures were always clearly recorded;
- breach action was clearly taken as a result of, or before, the third unacceptable failure;
- whether the Manager's authorisation not to breach on third failure was recorded.

The average differences were classified into the three categories, Below Average, Average and Above Average, by calculating the inter-quartile range of the average differences (the inter-quartile range is the upper quartile minus the lower quartile). The average category is therefore the middle 50 per cent of the data range. These categories were then compared with the case management model identified in the questionnaires.

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