

THE  
NOMS  
**OFFENDER MANAGEMENT**  
MODEL

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## THE NOMS OFFENDER MANAGEMENT MODEL

### 1 WHERE DOES THE NOMS OFFENDER MANAGEMENT MODEL COME FROM?

- 1.1 The function of the NOMS Offender Management model is to provide a universal way of understanding and developing the components and processes of effective work with offenders who are engaged in way or another with NOMS. Mostly, but not exclusively, this engagement will be the result of being the subject of a sentence to be managed by NOMS. The model is intended to provide a single framework within which the different organisations and staff who make up NOMS can coalesce. It is also intended to provide the overarching framework within which change and improvement projects can be located.
- 1.2 The model draws its key messages from various sources:
  - the Report of the Review of the Correctional Services (Carter Report) and subsequent Government Response – *Reducing Crime: Changing Lives*
  - what is known as the What Works evidence, underpinning the development of evidence-based practice in prisons and probation
  - recent research, literature and studies into the effectiveness of correctional work, including the Social Exclusion Report and various reports of the relevant Inspectorates
  - a review of the case management models and structures developed and deployed in organisations with similar features to corrections, like mental health, child care and social work
  - organisational effectiveness models like European Excellence
  - the application of best practice principles in project and change management to the business of implementing sentences with individuals
- 1.3 Its conceptual coherence has been tested through many consultations over the past 18 months – both formal and informal – involving thousands of staff. There is no doubt that in broad terms it resonates well as a model which blends together a vision of how things should be with an appreciation of the constraints and hurdles of operational reality.
- 1.4 It is a dynamic concept. This document is only Version 1. It gives Offender Management in NOMS a direction of travel, for the time being, while more work is done on the detail, more research and evidence is gathered and experience is gained from projects to implement it on the ground.

## 2 THE CORE FEATURES OF THE MODEL

The NOMS model is built around an **Offender-Focussed Human Service Approach** to work with individual offenders.....

Within it is a **Single Concept of Sentence Implementation**, which incorporates a **Single Language** and a **Single, Core End-to-End Process**.....

It is a **Differentiated Approach**, enabling different resources and styles to be matched to different cases.....

But a “**One Sentence:One Manager**” structure is considered to be the baseline against which all delivery arrangements are judged.....

It is a **Brokerage Approach** in which an Offender Manager brokers resources, but does not commission or purchase them....

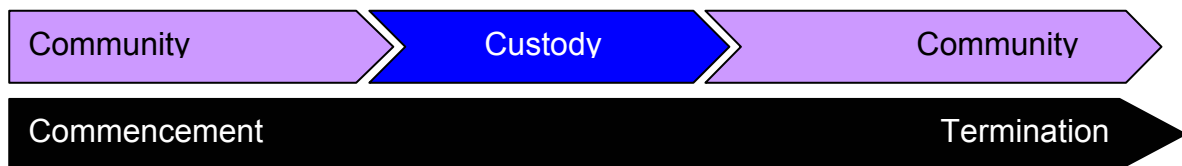
and in order to deliver the required coherence to an offender, the model incorporates a **New Concept of Teamwork**

Finally, it is a **Whole System Approach**, which requires that organisational support functions support the core business process of Offender Management

A more detailed rationale for these key features can be found at appendix A

### 3 The Single Core Process

- 3.1 At the heart of the model is a single high-level image of the Offender Management process, which spans the whole of the sentence. It transcends the roles of both prison and probation, and of those others who contribute to the implementation of sentences. It validates everyone's contribution to the process, and makes the relationships between the different contributions clear. The detail of the model is worked out from this high-level image. The single set of language and roles is derived from it.
- 3.2 The image builds-up in component parts.
- 3.3 It is shown as relating to the whole of a sentence, from its commencement to its termination. This end-to-end imagery provides a continuous reminder of the need to think "whole sentence" about the work of NOMS. The way in which more and more sentences in future will be composed of periods of both custody and community supervision is illustrated thus.



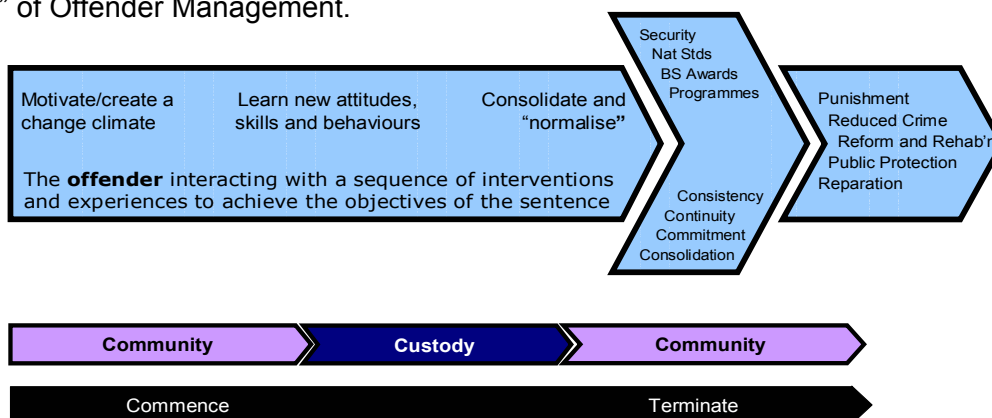
- 3.4 The remainder of the model builds up an image of the individual offender's journey through the sentence. The role of NOMS is to design and implement an experience which meets all of the objectives of the sentence.

#### About the Objectives of Sentences

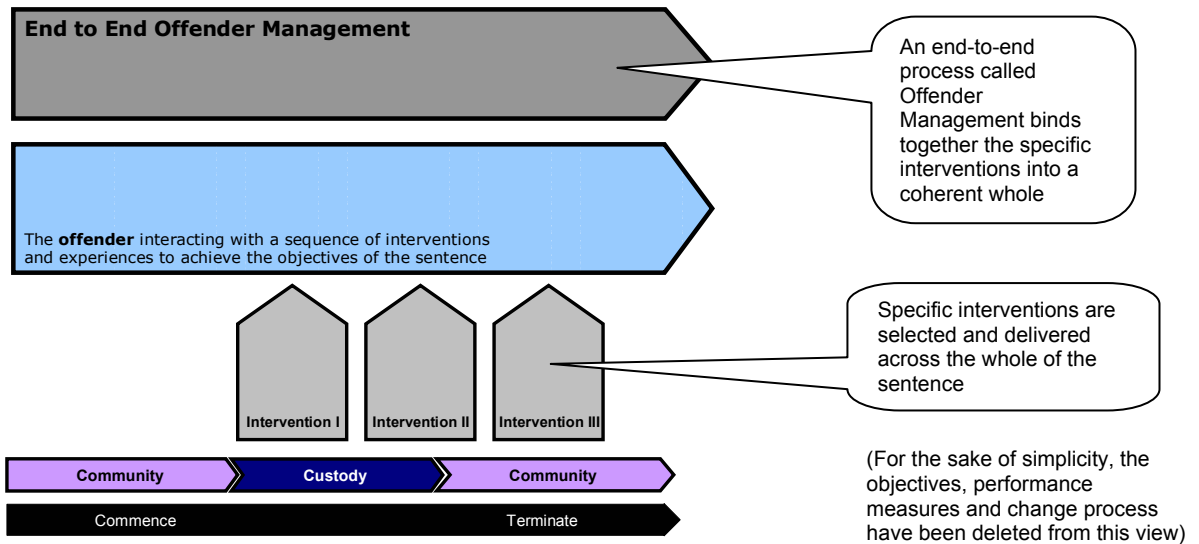
- 3.5 In order to do so, those objectives must be clear. The objectives of sentencing are now defined in the Criminal Justice Act 2003. They are:
- punishment
  - reducing crime
  - reform and rehabilitation
  - public protection
  - reparation
- 3.6 But note:
- these objectives are the general objectives of *sentencing*; they apply in a different mix to each individual sentence
  - sometimes courts will spell out the objectives of the sentences they pass, but often they will not
  - sometimes the objectives can be deduced from the elements of the sentence
  - but sometimes NOMS staff will have to figure out the objectives, within the parameters set by the sentence itself, and based upon an assessment of the offender
  - part of the process in Offender Management is to define the objectives of each sentence so that resources can be appropriately deployed to meeting them
  - punishment – in some degree or another – will be a part of every sentence
  - the reform and rehabilitation of offenders is a key objective, for if this can be achieved, then crime is reduced, and the public protected in the long run
  - but the objectives do not fit into a neat hierarchy. Reform and rehabilitation must be pursued within the framework created by the punitive requirements, and is often secondary in cases where there is a pressing public protection issue

## A Process Focussed upon an Individual Offender

- 3.7 For most offenders, a cognitive-behavioural/social learning change process is associated with reform and rehabilitation. The key stages of this process are mapped onto the end-to-end offender experience in the model. For most offenders it is this process which has to be nurtured if reform and rehabilitation is to be achieved.
- 3.8 Between the experience and the final outcomes lie those measures which NOMS adopts, or which are set for it, in order to make short-term judgements about whether it is on the right track to achieving its final outcomes. Many of these are incorporated into the Performance Management framework.
- 3.9 The selection of measures is important, since the standards and targets set will shape the behaviour of managers and staff. The current suite of measures tends to focus upon the *content* or the “what” of the experience – were basic skills qualifications achieved, did offenders complete accredited programmes, were offenders held safely and securely in custody etc. But we know too that the *way* in which this content is delivered – the “how” is as important as whether it was delivered.
- 3.10 Drawing upon all the available evidence and literature, the model uses the 4 C’s (see Holt – “Case Management: The Context for Supervision” 2000) to express the necessary qualities of the offender’s experience – the “how” of its delivery. These are:
- consistency the offender needs to experience a consistency of message and behaviour, both by the same person over time and by different people working with the same offender at the same time
  - continuity there needs to be a continuity of care or treatment, but also a reasonable degree of continuity of relationship running through the whole of the sentence
  - commitment offenders need to experience those working with them as being committed or genuine, not just going through the motions
  - consolidation gains will be short-lived if new learning is not turned into normal behaviour through a process which reinforces and rewards it
- 3.11 The 4 C’s are derived mainly from offender studies and thus provide a valuable user perspective. They are not yet incorporated into a Performance Management framework. It is not surprising, therefore, that studies have shown that the characteristics they express have been under-emphasised in recent development (see, for example, Kemshall and Canton 2003). It is an important feature of the model that, over time, the Performance Management framework is adjusted so that it drives an appropriate balance between the “what” and the “how” of Offender Management.

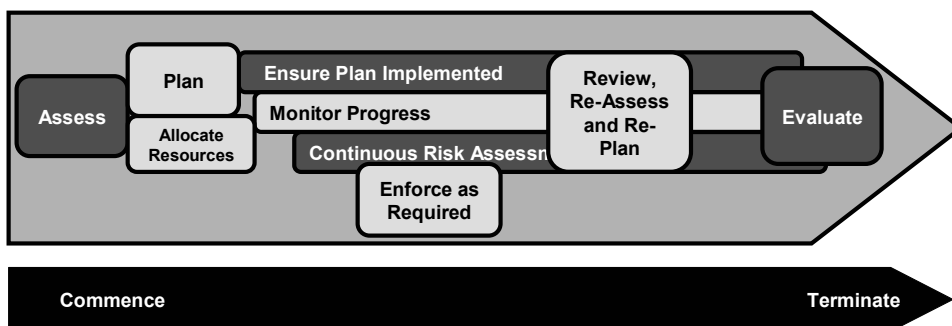


- 3.12 The next two elements of the model represent the way in which
- specific interventions are selected and delivered across the sentence, and
  - an end-to-end process of Offender Management binds them together into a coherent whole.



3.13 The end-to-end Offender Management process provides the integrating framework within which interventions are selected, sequenced and delivered. It spans the whole sentence. It is understood as being composed of 3 threads each of which is broken into more detail. The 3 threads are called “management”, “supervision” and “administration”

3.14 **MANAGEMENT** at the level of individual cases, is the process in which the authority of the sentence is vested. It gives the sentence its direction, order, pace and shape. Its “owner” is the Offender Manager, who is responsible for the discretionary elements of the case. This is a collaborative not an authoritarian form of responsibility. It is expressed through a sequence of tasks and functions as below which the model expects the Offender Manager in person to discharge.



3.15 The specification for “assess”, “plan”, “review etc” and “evaluate” have already, to a certain extent, been set down as part of the implementation of OASys. Enforcement requirements have also been specified. The framework for “allocate resources” is described in the next section of this document.

3.16 The irreducible core of the management process can be captured for ease of reference in the acronym SPIRE:

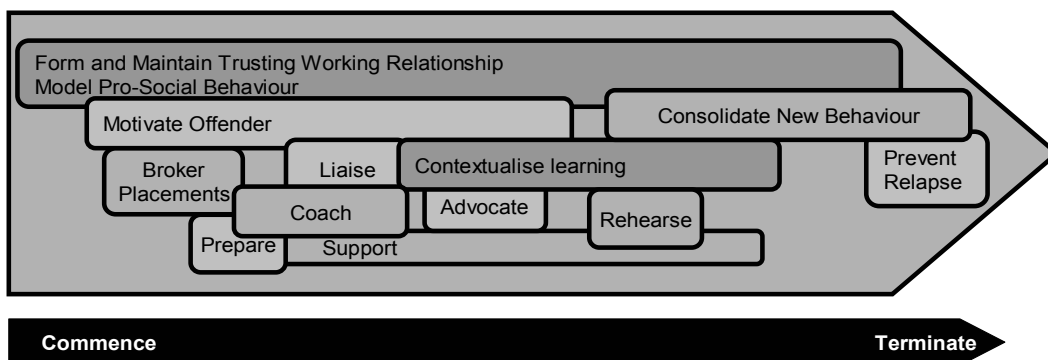
**A**ssess – **S**entence **P**lan – **I**mplement – **R**eview – **E**valuate

3.17 “Assess” involves forming an accurate view of the offender him/herself, and setting this alongside the requirements of the sentence, and any applicable policies and priorities. The assessment of the offender should draw upon previous assessments and records, and use supplementary specialist assessments where required.

- 3.18 From this assessment a single Sentence Plan should be formulated, which specifies who will do what and when to achieve the objectives of the sentence, and intermediate targets. The scope of the Sentence Plan should be the whole of the sentence, not just any part of it. It is recognised that this may be more difficult to achieve with longer term sentences.
- 3.19 The detail of “Ensure Plan Implemented” involves brokering the required interventions, and setting up the Offender Management Team which will be responsible for delivering the plan. Though covered by the single term “brokerage”, the process of securing and deploying the right interventions is one which varies in complexity and in the authority and competences required for it. This will determine to what extent the interventions in the plan need to be brokered by the Offender Manager in person, and to what extent they can be delegated to someone working closely with the Offender Manager.

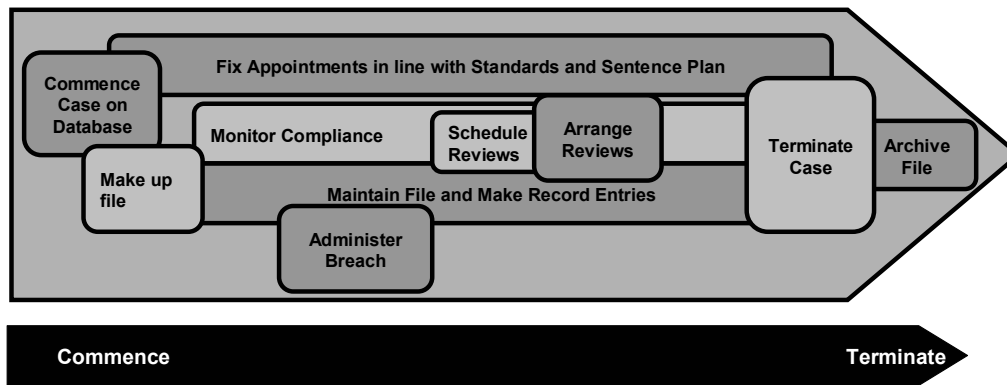
	Type of Brokerage	Example	Competences/Authority Required
Increasing Complexity	Referral into corrections-specific in-house provision	Allocation to unpaid work project Accredited programme	Knowledge of in-house procedures Authority to refer to in-house programmes
	Referral into corrections-specific, direct purchased external provision	Referral to local employment skills partnership Basic skills work in custody Referral to direct-purchased alcohol programme	Above plus..... Authority to disclose information to other agencies within clear protocol Good judgement about information disclosure
	Accessing into mainstream service provision with duty to reach-out to hard-to-reach groups, including ex-offenders	Drug services in the community Basic skills in the community Supported accommodation	Above plus..... Responsibility for agency risk taking Skill in risk management
	Accessing into mainstream provision with no priority for ex-offenders	Mental health day-care provision Health provision in the community	Above plus..... Negotiating skills Ability to lead inter-agency team Authority to commit resources and take risks Ability to provide support for provider

- 3.20 In the model it is expected that the tasks and functions involved in managing the case, which require contact with the offender, will be discharged in person by the Offender Manager and face-to-face with the offender. The scale and complexity of this will vary from case to case (see para 3.64).
- 3.21 **SUPERVISION** is the term used by the model to describe the sequence of day-to-day, face-to-face tasks and activities which will be required in most cases to secure compliance, generate the motivation to co-operate, and achieve cohesion of the plan. Most offenders will not co-operate actively with their Sentence Plan simply because one exists. This is true whether the offender is in custody or in the community.
- 3.22 Its core tasks and activities are represented below. Those tasks which are sequenced (like, broker - prepare - support - consolidate) apply both to the whole sentence and as a wrap-around sequence for any given intervention.



- 3.23 Generally, the *intensity* of supervision will vary with the risks posed by the offender, the complexity of the plan and the motivation and capabilities of the offender. The exact mix of tasks will be informed by an assessment of what each case requires. This reflects the “Responsivity Principle” in the What Works literature.

- 3.24 In most cases, efficiency and effectiveness requires that whoever discharges the “manage case” process (the Offender Manager) will also provide supervision. Indeed, the management tasks, such as planning, provide an ideal vehicle for some of the supervisory processes, like relationship forming. Combining the two processes in one role avoids the extra costs of communication, and the risks associated with fragmentation of delivery. But it remains important in the model to define these two processes separately:
- “supervision” becomes a specific requirement under the Criminal Justice Act 2003, separate from the duties of the Responsible Officer (the legal term for Offender Manager). It is therefore necessary to define it differently to the duties of the Responsible Officer otherwise courts will not be able to judge whether a supervisory requirement should be included in the sentence. Offender Managers responsible for cases in which there is no supervisory requirement need to be clear which tasks are intrinsic to the role of Offender Manager and which are not.
  - there are circumstances in the NOMS environment in which “management” and “supervision” need to be disaggregated into roles for two different people. Where this is done, the term “Offender Supervisor” should be used for the person responsible for supervision (or for that part of supervision delegated by the Offender Manager). The most common of these circumstances are:
    - a **distant custody.** When offenders have to be located in custody at some distance from their resettlement address, and their Offender Manager is located in their home area, it is not feasible for the Offender Manager in person to deliver the day-to-day supervision necessary for most offenders. In these circumstances, an Offender Supervisor will need to be appointed, to work in close harmony with the Offender Manager, implementing the Sentence Plan. An Offender Supervisor may be a Prison Officer (perhaps in an adaptation of the Personal Officer role), or a member of the seconded probation team, or, conceivably, a third-party mentor who can work through the gate.
    - b **intensive programmes.** In programmes which require several contacts per week it is not feasible for one person to deliver both the “manage case” and “supervise offender” processes. The tasks in the two processes will need to be shared, often in cross-grade, cross-agency teams. It is more important in such arrangements that staff are clear about their roles, notwithstanding the fact that some of the tasks associated with those roles may be shared. It should be clear who is the Offender Manager and in deciding about the delegation of tasks, those associated with the “manage case” process should wherever possible, be reserved for the Offender Manager
    - c **acute capacity problems.** It has proven valuable to be able to separate the role of Offender Supervisor from that of Offender Manager where there is an acute shortage of suitably competent and qualified staff. Offender Supervisors (there are many different terms currently in use for this role) (typically Probation Service Officers) work in close partnership with Offender Managers (typically qualified Probation Officers). Whilst there are risks associated with the fragmentation of the end-to-end Offender Management function, carefully designed and implemented, such arrangements can work well.
- 3.25 In general terms, though, it is a key principle of the model that the more a through-process is disaggregated, the more risks there are of it going wrong. There are stark lessons to this effect from the library of Serious Incident Reviews in probation, and from the succession of child death inquiries stretching back to Maria Colwell in 1974. The greater the risks posed by the offender, the more important it is that the role of Offender Manager and Offender Supervisor be contained in one person..
- 3.26 **ADMINISTRATION.** The implementation of sentences and the management of offenders is bound-up in a complex web of standards and procedures. It will require a degree of crisp, reliable **ADMINISTRATION** if it is to meet all of its objectives. It is administrative processes which set-up the recording and communication infrastructure and which ensure that the right things get done at the right times.
- 3.27 The timeline below isolates a typical end-to-end administrative process for a community sentence.

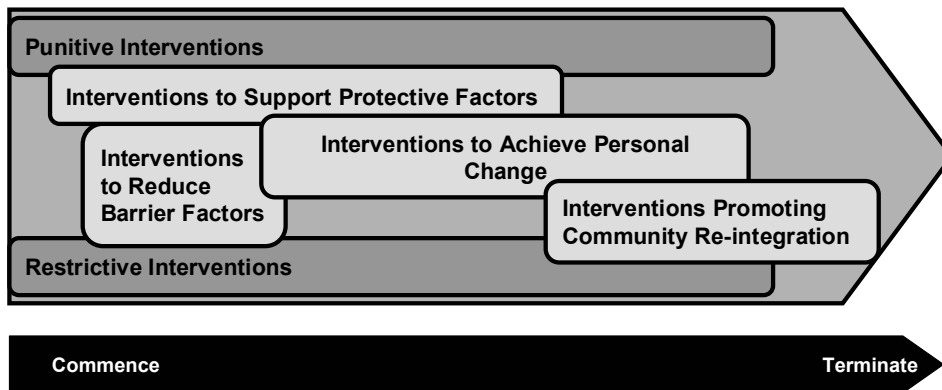


- 3.28 The administrative processes associated with the custodial part of sentences are most often centralised in separate departments within prisons.
- 3.29 In the community, the implementation of National Standards, from 1993 onward, required a far higher degree of reliable and consistent administration of sentences. This too often fell directly upon case managers. Isolating those tasks in the delivery of a sentence which are administrative enables them to be clustered into a separate role and allocated to staff with the right administrative aptitudes and competences – though the model in itself does not require this.
- 3.30 The Partridge Report "Examining Case Management Models in Community Sentences" (RDS OLR 17/04) showed how performance improvements can be achieved if the role of Case Administrator is well defined, and organised so that Case Administrators, Offender Managers and Offender Supervisors are working in tight, small-team arrangements.
- 3.31 **SEQUENCING INTERVENTIONS.** In the model, interventions are the other group of activities which impact upon the offender to create the end-to-end experience. Interventions and the end-to-end process of Offender Management mesh together in a matrix format.
- 3.32 We have already seen that it is part of the role of the Offender Manager to decide which interventions are to be deployed in any particular case; some are mandatory and some discretionary. The model does not define the detailed specification, nor the delivery requirements of specific interventions. Which interventions are selected and drawn down for each offender will depend in part on the requirements of the sentence and in part on the assessment of the offender. The Interventions Departments of NPD and HMPS provide guidance about which interventions should be matched to which offender characteristics. They also deal with the specifications for the delivery of those interventions.
- 3.33 But the *sequencing* of the selected interventions is a matter which requires the Offender Manager's whole-sentence perspective. Several factors weigh in the balance to determine the precise sequencing in each case:
- the sequence needs to map onto and support the change process
  - there are some natural sequences to some interventions e.g. detoxification before relapse prevention
  - the complexity of the sentence
  - the capabilities of the offender and his/her ability to cope with multiple, concurrent demands
  - some interventions are better delivered in custody and some in the community
- 3.34 The model provides a typology of interventions, into which all the most frequently required interventions fit. It then provides an idealised and universal sequence of those interventions and shows how a custodial period can be accommodated in the delivery of them.
- 3.35 The typology of interventions is illustrated in the table below. It provides NOMS with a common language, which maps well against the language in the Criminal Justice Act.

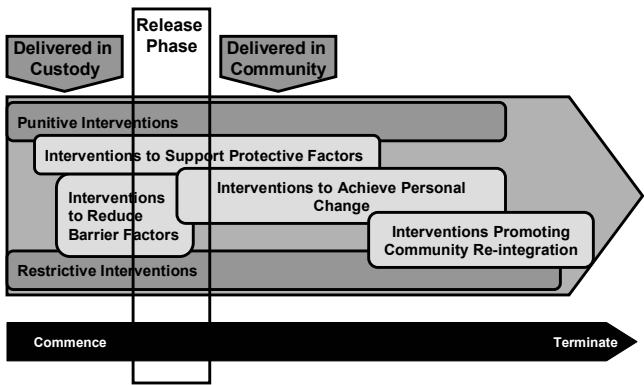
Punitive Interventions	Constructive (or Rehabilitative) Interventions				Restrictive Interventions
	Supporting Protective Factors	Reducing Barrier Factors	Change Programmes	Re-Integration	
To implement the punitive element of the sentence	To protect or promote the desistance factors in an offenders life/situation	To reduce or eliminate factors which stand in the way of change	To learn new, pro-social attitudes and ways of behaving	To consolidate the new learning and promote citizenship	To control behaviour for public protection
Imprisonment	<b>Maintaining family ties</b>	<b>Tackle homelessness</b>	<b>Accredited Offending Behaviour Programmes</b>	<b>Employment market skills training</b>	Prohibited Activity
Unpaid work	<b>Retaining work</b>	<b>Tackle acute drug or alcohol addiction</b>	<b>Medical treatment for drug or alcohol addiction</b>	<b>Benefits, Debt and Money management</b>	Curfew
Attendance Centre	<b>Retaining accommodation</b>	<b>Tackle chronic lack of motivation</b>	Some life and social skills training	<b>Independent living support</b>	Mobility Restriction
Curfew	<b>Maintaining good health</b>	<b>Address engulfing mental health issues</b>		<b>Relapse prevention</b>	Surveillance

Shaded interventions cross-reference to inter-agency Pathways in Reducing Re-offending National Action Plan

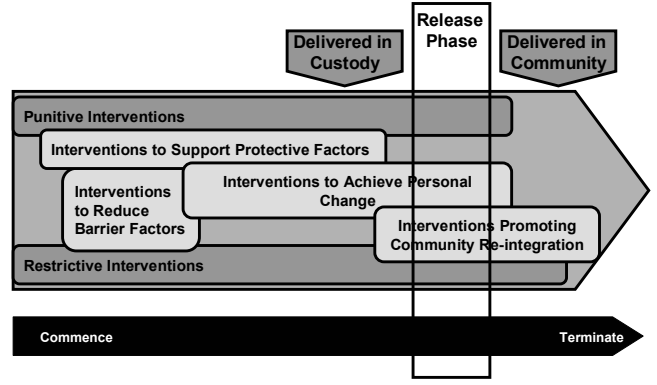
- 3.36 In the main, punitive interventions, which will form part of the structure of the sentence itself, will need to be implemented immediately, or almost immediately, after commencement. In one shape or form, they will normally span the whole sentence. So, imprisonment, hostel placements and curfews take effect immediately; unpaid work, intermittent custody and Attendance Centre attendance take effect after a short arrangements delay. If the punitive elements in the sentence are not effected briskly, the credibility of NOMS – and all of its other objectives - are put at risk.
- 3.37 Where they apply, or as soon as and for as long as the risk is apparent, restrictive measures for public protection must be implemented immediately too. So, prohibitions and exclusions take immediate effect.



- 3.38 The constructive (or rehabilitative) interventions are sequenced as illustrated. Where custody is an element in the sentence, it is particularly important that the fact of being in custody is prevented, as far as practicable, from making the offender's situation worse. Hence, the immediate focus is upon supporting protective factors.
- 3.39 The diagrams below superimpose a release phase on this end-to-end sequence, illustrating which interventions might sensibly be planned for delivery during custody and which in the community. This may require some modification since some interventions are more effectively delivered in custody (e.g. basic skills) and others are more effective if they can be delivered in the community (e.g. accredited Offending Behaviour Programmes).



A Sentence with a Short Custodial Element

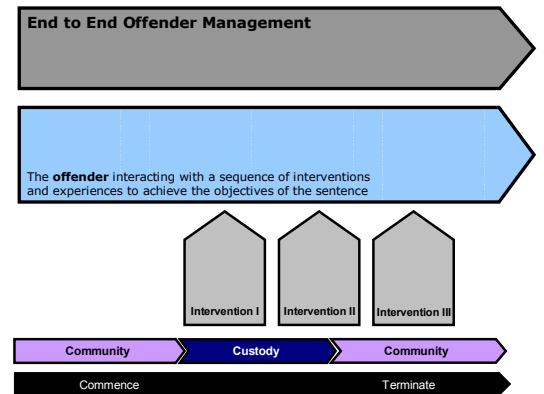


A Sentence with a Long Custodial Element

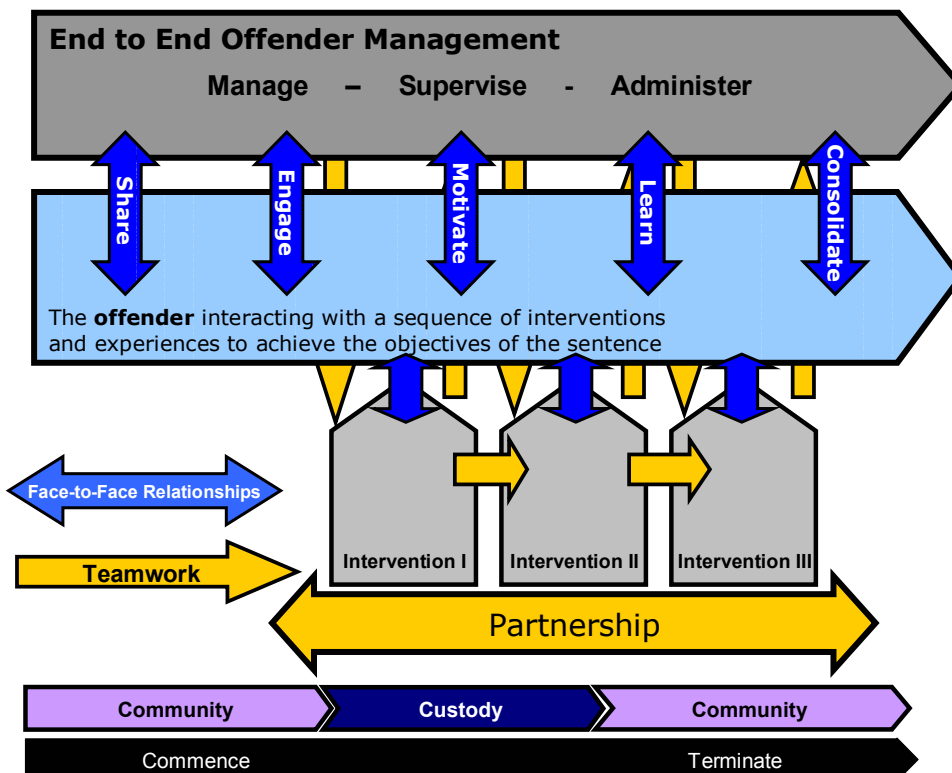
3.40 As it stands, the high level model could be interpreted as implying that managing offenders effectively requires attention only to the separate functions of end-to-end Offender Management and the delivery of interventions. Such an approach would struggle to deliver the consistency, coherence and cohesion which we know the offender needs to experience.

3.41 In the systemic approach to Offender Management there are two networks which link together the main functions. These are

- all the face-to-face relationships which the different staff have with the same offender, at different stages of the sentence, and
- the network of relationships between those different staff, often working in different organisations



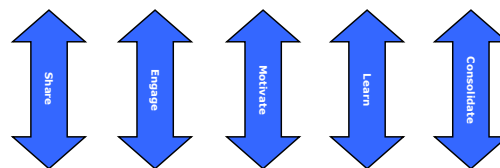
3.42 The next – and final – stage of the build-up of the core model is to add-in these networks, thus:



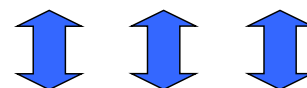
3.43 We can now interrogate the specification for these two networks of relationships.

### Core Correctional Practice

3.44 Much of this model specifies what needs to be done with the offender, when and by whom. Not surprisingly, though, evidence is emerging that *how* things are done may be as important as *what* is done, or, more accurately, that doing the right things the wrong way is less effective than doing the right things the right way.



3.45 A recent re-working of the core What Works research evidence (see Dowden and Andrews “The Importance of Staff Practice in Delivering Effective Correctional Treatment: A Meta-Analytic Review of Core Correctional Practice” (2004) has highlighted that the most effective approaches are delivered by a set of staff behaviours which researchers have labelled “**core correctional practice**”. This core correctional practice is characterised by 5 features. These are:

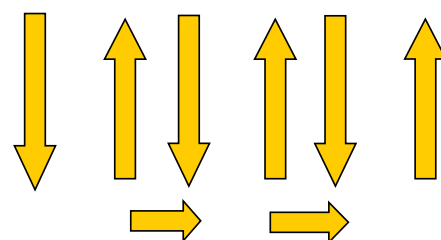


- the firm, fair and clear use of authority
- modelling pro social and anti-criminal attitudes, cognition and behaviours
- teaching concrete problem solving skills
- using community resources (brokerage)
- forming and working through warm, open and enthusiastic relationships

3.46 We have adopted core correctional practice into the model. It becomes the expectation for all the face-to-face relationships conducted with offenders, and forms the baseline of skills and competences required by all staff who work with offenders. This specification will, over time, need to be embedded in NOMS human resource management processes, like selection, training and development, and deployment. It will also need to become part of the delivery specification for elements of Offender Management which may in the future be contracted to agencies other than the main correctional services.

### A New Concept of Teamwork

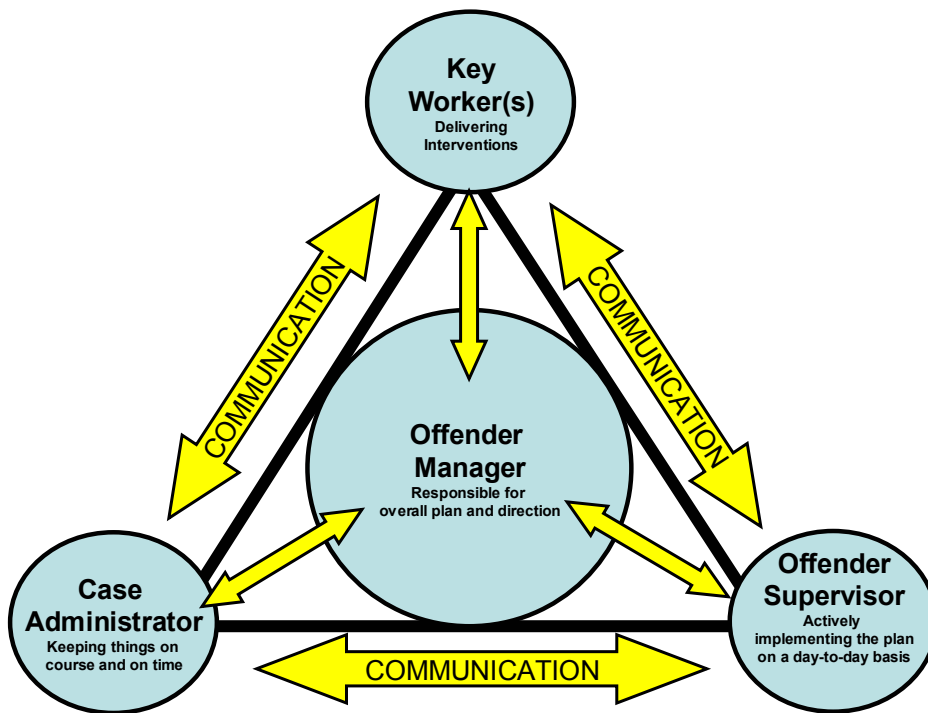
3.47 The model of Offender Management involves different people from different agencies, doing different things with the same offender, at different stages of the sentence. The Offender Manager provides the thread of continuity, binding issue-specific interventions into a coherent whole. But all of this work needs to impact upon the offender with consistency, continuity and commitment. How is this to be achieved? The answer lies in teamwork.



3.48 The model defines an **Offender Management Team** as that group of staff, from whatever agency, who need to work together to implement a single Sentence Plan for an individual offender.



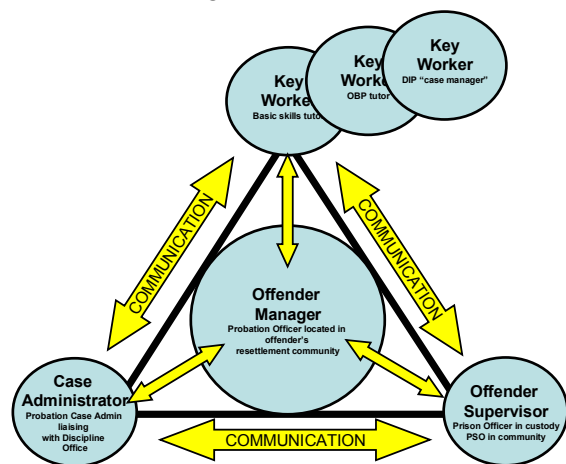
3.49 The graphic below illustrates the roles and their relationship to one another in a model Offender Management Team.



3.50 This second version of the team model illustrates how existing familiar roles fit into the universal approach.

3.51 The Offender Manager is the team leader, at the hub of the team. He/she needs to work closely with those delivering interventions, with whoever is responsible for case administration, and with any separate Offender Supervisor. The model defines the roles of:

- Offender Manager
- Key Worker
- Offender Supervisor
- Case Administrator



These role definitions, together with the task lists which accompany the roles, are reproduced in appendix B.

3.52 It is important to understand the concept of role. The same person may occupy different roles with different offenders, or more than one role with the same offender. Indeed, for the most part the model expects that the roles of Offender Manager and Offender Supervisor will be performed by the same person in relation to any given offender, except where the circumstances outlined in paragraph 3.24 a, b or c prevail. What is important is that staff understand what role they are expected to perform in relation to any individual offender, what is required of that role, and how that role relates to the roles of others. That is, they have a sound grasp of **ROLE, TASK and RELATIONSHIP**.

3.53 The Sentence Plan is the vehicle around which the Offender Management Team coheres. Through it the authority of the Offender Manager is delegated to others performing their different roles. It is through adherence to the Sentence Plan that continuity and integrity of treatment is achieved.

- 3.54 It is important, then, that all members of the Offender Management Team are fully conversant with the content of the Sentence Plan, not just to understand their own contribution to delivering it, but also to understand how their contribution knits in with others'. This can most easily be achieved by distributing copies of the plan, unless there is some overriding issue of confidentiality.
- 3.55 Co-ordination and fine-tuning of the delivery of the plan is achieved through accurate and timely communication between members of the OMT and between members and the Offender Manager. This requirement obviously lends itself to an electronic solution through which the Offender Management Team for any given offender can be enabled to read and write contemporaneously to a single case record. This facility is being developed through the NOMIS/TAG project, but in the meantime there is some scope for adapting existing electronic and manual communication systems to achieve this objective.

### **Every Case is a Project**

- 3.56 The model encourages thinking about each offender's period of engagement with NOMS as a project, and then applying contemporary project management wisdoms to it. Thus, the Sentence Plan is the Project Plan. Other key best practice themes in Project Management are:
- all team members believe in the value of teamwork and are committed to making it work
  - there is mutual respect for the different contributions of different people and organisations to the business of the project
  - team members share a vision about what has to be achieved
  - the Project Manager provides visible, enthusiastic, interested leadership
  - there is an overall plan with critical activities properly costed
  - everyone in the team has a good understanding of the overall plan
  - there is clarity between team members about who's doing what and by when *and* how each relates to the others
  - there is good day-to-day communication between team members
  - the risks are well understood and action is taken to mitigate them
  - there are sound arrangements for monitoring progress and trouble shooting
  - all team members share in regular reviews of progress
  - at the end of the project there is a de-brief of what worked well and what didn't work so well in order to improve next time
- 3.57 The challenge of the model is to apply these best practice principles of change management to the project of implementing a sentence effectively. There are implications here for the person-specification of staff, for the way in which Sentence Planning is conducted and Sentence Plans are used, for teamwork practices and communication systems.
- 3.58 Partnership is about the relationship between organisations. Good partnership creates an environment in which staff are more likely to function effectively as a team. NOMS then needs to pay careful attention to how it establishes and maintains a real sense of partnership. Partners from outside of the main correctional services need to feel that they are more than simple contractors, and those within need to develop a genuine mutual understanding and respect for one another's contributions. Regional Resettlement Partnerships are a good example of the development of a partnership environment, focussed, in this case, on the discharge of prisoners.

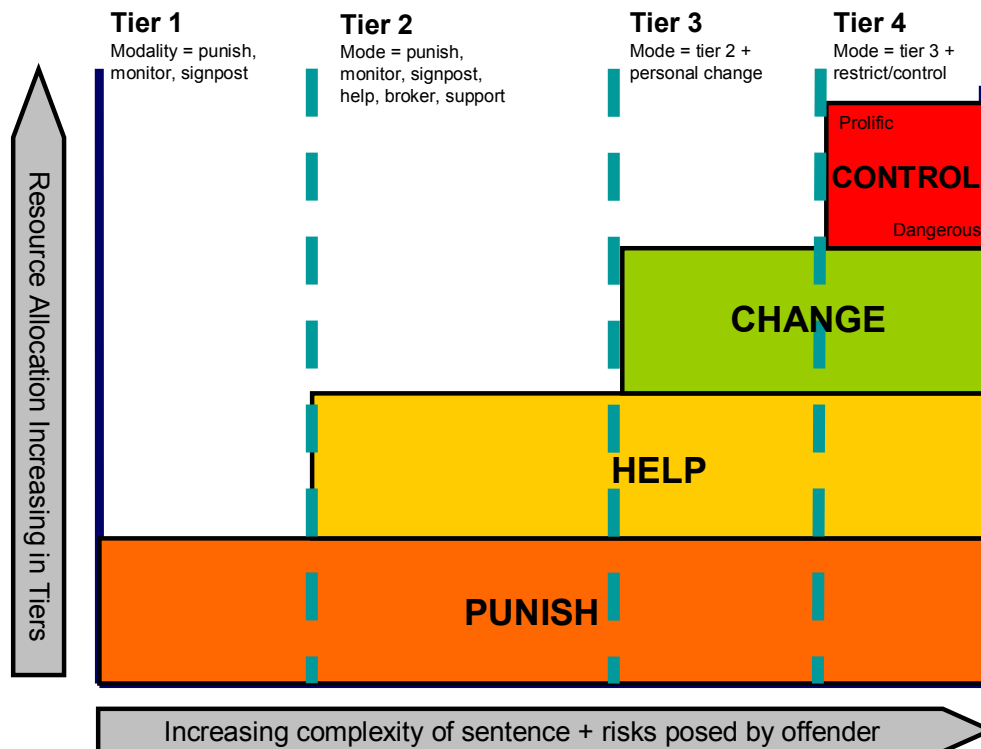
## Matching Cases to Styles and Resources – A Universal Tiering Framework

- 3.59 We have already seen how the term Offender Management, growing as it has out of case management, may cover a wide range of different styles. The Offender Management model needs to include within it a way of matching those styles, and allocating different levels of resource, to different cases.
- 3.60 NOMS is unlikely ever to have sufficient resources to do everything it would like to do, to the highest standard possible. Resources therefore have to be prioritised. A Least Necessary principle has to apply if we are to use scarce resources to maximum effect. The What Works evidence suggests that not only is it not necessary to allocate high levels of resource to lower risk cases, it may be counter-productive. Recent evidence has shown that without a firm framework for resource allocation, the effort and energy put into different cases tends to drift into a “one size fits all” middle ground (see, for instance, Bonta and Ruggie “Case Management in Manitoba Probation 2004”).
- 3.61 So. We need a framework which embodies the resources follow risk principle, and the least necessary principle, and, if we are to use our corporate resources effectively, which is used universally.
- 3.62 In terms of What Works, resources follows risk means that the overall level of intervention should be proportional to the likelihood of the offender re-offending. But there are several risks associated with Offender Management and different resources need to track the different risks in different ways. If the framework does not reflect and incorporate the different risks which are weighed up in our real world, it will be of limited value. We have to take account of the likelihood of re-offending, the risk of harm, the complexity of some cases, risks which some cases pose to the organisation, investment risks etc. The different risks and resource considerations are shown in the table below:

The Determinants of Resource Allocation	
Determinant	Relationship with Resource Allocation
Requirements of the Sentence	The implementation of the minimum punitive requirement of the sentence is the first call upon resources. This is non-discretionary.
Likelihood of Re-offending ("Resources Follow a Risk")	The higher the likelihood of re-offending, the more entrenched the behaviour pattern and - in a cognitive learning model - the more input ( <b>volume or dosage</b> ) will be required to achieve change
Risk of Harm ("Resources Follow Another Risk")	In addition to rehabilitative resources, offenders who represent a high risk of harm will require a higher level of <b>accountability</b> , the deployment of a discretionary framework of restrictions and surveillance (often over and above the minimum requirements of the sentence itself) and the mobilisation of scarce <b>inter-agency resources</b>
Complexity of Intervention Plan ("Resources Follow Need")	The more numerous the criminogenic needs, the more complex will be the sentence plan, and the more <b>skilled</b> will the Offender Manager need to be to implement it effectively. Additionally the more supervision is likely to be needed if the plan is to stay on course
Risk to Organisational Security ("Resources Follow Yet Another Risk")	Notwithstanding all other factors, there are some cases which demand a higher resource allocation than would otherwise be the case. These are typically “low likelihood/high impact” cases, like lifers, notorious cases, high seriousness/low risk cases and vulnerable offenders
Prospects for Achieving Objectives ("Resources Follow Outcomes" = triage)	A judgement has to be made about the prospects of achieving the desired objectives in the time-frame allowed by the sentence. All things being equal, there is little point in investing heavily where there is little prospect of success
Local or National Priorities ("Resources Follow Priorities")	From time-to-time local or national priorities will require an allocation of resources to a case which is higher than the other factors might otherwise require
Availability of Interventions	Notwithstanding the needs or requirements in a case, resources can only be allocated if they exist. A provision (like drug treatment) may be in short supply, or there may simply be no provision at all in some localities to address some needs

3.63 Through consultation, we have evolved a 4-tier framework into which all cases can be mapped. Interestingly, the case management frameworks in other organisations, like mental health, child care and drug services, have also evolved 4-tier frameworks.

3.64 The framework is illustrated thus:



3.65 The framework works as follows:

4 broad modalities for working with offenders are specified. Each has a 'label' and a more detailed description: The approach required of the Offender Manager/Supervisor varies from mode to mode:

Label	Description/Modality	Offender Management Approach
<b>PUNISH</b>	Implementation of minimum required punishment inherent in the sentence, with due regard for decency, health and safety and the preservation of citizenship; monitor risk factors; "signpost" to helping resources	Hands-off; administrative, organising, monitoring, signposting to resources
<b>HELP</b>	Motivation; referral to resources providing practical help addressing circumstances or situation – typically employment, accommodation, basic and life skills; support and encouragement of participation	Hands-on; motivating; encouraging, referring; supporting; problem solving
<b>CHANGE</b>	Implementation of carefully planned programme designed to achieve personal change, typically, including Offending Behaviour Programmes, drug and alcohol treatment; some social skills	Hands-on; treatment (usually) to complement or as part of specialist treatment programme; co-ordination of all inputs to complement one another
<b>CONTROL</b>	Intensive, inter-agency, multi-faceted programme to control and monitor behaviour, including surveillance and intelligence work. Typically, Prolific Offender Schemes and dangerous offender MAPPA 'packages'	Hands-on; risk management; inter-agency co-ordination; high level of teamwork

3.66 All cases will require the implementation of PUNISH mode; most will require HELP, a proportion will require CHANGE and a few – the dangerous and the very prolific - CONTROL

3.67 The framework then creates 4 categories of case:

The “modes” are not mutually exclusive, but build in tiers. Thus:

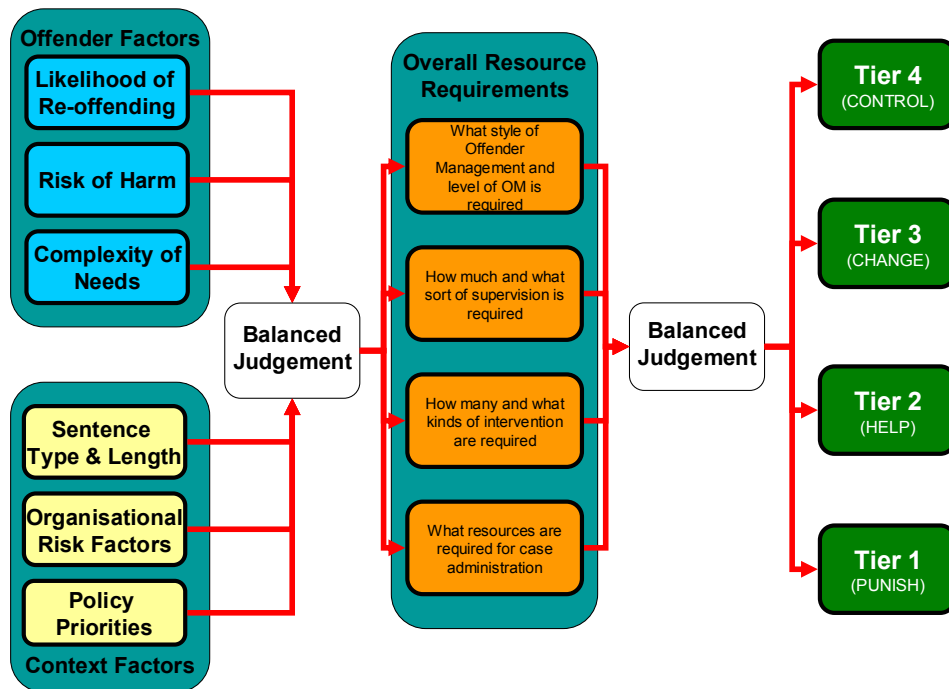
- Tier 1 cases = **PUNISH**
- Tier 2 cases = **PUNISH and HELP**
- Tier 3 cases = **PUNISH and HELP and CHANGE**
- Tier 4 cases = **PUNISH and HELP and CHANGE and CONTROL**

3.68 Beneath this “high level” framework, there are more detailed descriptors of the profile of offenders who will fit into each tier, and the form of the Offender Management involved in each:

Tier	Offender Profile	n.b. offender descriptions are illustrative “sketches”. The complexity of factors and variables means that the definitions at the margins between levels are a matter for professional and local judgement
4	High and very high risk of serious harm cases – public protection priorities Cases requiring the highest level of skill, qualification and organisational authority Cases requiring unusual or exceptional resource allocation Cases requiring very high levels of inter-agency work High local and national priority cases (prolific and/or persistent offenders)	
3	Medium/high likelihood of re-offending cases with multi-factor intervention plans Medium risk of harm cases Cases with personal change as the primary objective Cases requiring high levels of integrative work Cases in which mishandling would have serious organisational consequences Vulnerable offenders	
2	Rehabilitation cases in which the focus of work is on the offender’s situation Rehabilitation cases with less complex intervention plans Rehabilitation cases where the main change work has been completed Reasonably motivated, reasonably compliant offenders Medium or low risk of harm Resettlement/re-integration cases where practical help is the intervention approach	
1	Medium or low risk of harm cases Low likelihood of re-offending cases Low intervention cases requiring monitoring of risk factors only Compliant offenders who are reasonably well motivated to complete the sentence Cases in which punishment is or has become the main objective	

Tier	Form Description	n.b. form descriptions are illustrative “sketches”. The complexity of factors and variables means that the definitions at the margins between levels are a matter for professional and local judgement
4	Tier 3 plus.... Intrusive, assertive, intensive programme In-house, partnership and other agency staff delivering interventions contained within tight teamwork arrangements with high levels of communication and teamwork Face-to-face work by the Offender Manager forms integral part of the intervention programme Management and supervision likely to be contained within same person Frequent line management monitoring and guidance	
3	Tier 2 plus.... Multi-factor rehabilitation plan including structured approach to attitude and behaviour change Integrated plan with resources prioritised Key workers delivering interventions in close communication with Offender Manager Offender management focused upon integration, motivation and consolidation of change – management and supervision should normally be carried by one person Good communication and teamwork between Offender Manager, any separate Offender Supervisor and key workers delivering interventions	
2	Tier 1 plus.... Constructive interventions to tackle situational and life skills problems Partnership or in-house delivery of constructive interventions Offender management focus on referral, practical support, motivation and co-ordination	
1	Basic level of intervention to deliver punishment inherent in sentence requirements Basic minimum necessary administration to achieve timescale standards Routine information flow to monitor risk factors for increases in risk and review progress Provision of information and advice about helping facilities (“signposting”) Offender management restricted to making arrangements and monitoring	

3.69 The decision process for weighing together all the factors to be considered in allocating an offender to a tier is not a straightforward one. It can be represented schematically thus:



- 3.70 The data required for some of the decision factors is relatively easily accessible. The offender factors, for example, can be obtained from OASys. The business rules (i.e. what OASys score equates to which tier) have yet to be fully articulated. Plainly, the length and legal requirements of the sentence impact upon the plan, both together with the offender factors, but also, to some extent, independent of them.
- 3.71 Organisational factors adjust the implications of the offender factors. They include considerations like the appropriate handling of low risk/high impact cases (like post release lifers), notorious cases or vulnerable offenders. Policy factors include overrides created by local or national policy or priority issues – PPOs and Street Crime have been recent examples.
- 3.72 In operational arrangements where there is only one grade of Offender Manager and Offender Supervisor, the framework provides a structure for adopting differential approaches between cases. In situations where there are two, or more grades, it provides a broad structure for the allocation of cases between the grades, though care needs to be taken. There will, for example, be cases where the likelihood of re-offending, risk of harm and sentence structure all indicate a tier 2 approach, but where the most experienced and fully qualified Offender Manager is still required to oversee its delivery. Notorious or high-profile cases are an example.
- 3.73 Work is ongoing to produce a decision-tree capable then of being incorporated into OASys and/or NOMIS/TAG. When this has been finalised it will be issued as a tool to assist in operational decision making.
- 3.72 The value in using this universal method of case categorisation is that it:
- captures the evidence and policy base in a systematic approach
  - ensures that agency resources are used to best effect
  - assists staff and managers in resisting resource drift
  - backs agency staff when cases go wrong despite appropriate provision
  - assists in allocating finite resources
  - assists in allocation of staff and in defining role boundaries
  - assists in developing resource models
  - provides a common currency for a mobile user population
  - helps an understanding the complexity of our business processes
  - supports training

This completes the detail of the single, core process in the model, to the extent that it has some far been refined. The model provides a comprehensive and all-embracing framework into which the core business of NOMS can be located. More of the detail has yet to be teased-out. The model will model not remain static. It will evolve incrementally as research evidence and practical experience informs its concepts and its practical implementation. A more comprehensive Version 2 is scheduled for issue later in 2005.

#### 4 Offender Management - A Whole System Approach

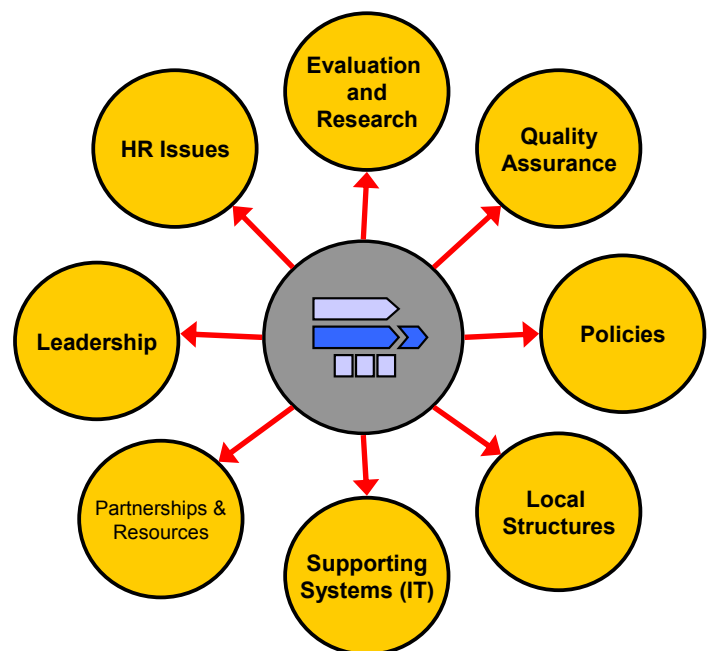
4.1 Back to an earlier proposition. Sentence implementation is NOMS' core business process; it is the single most important thing it has to do. Offender Management is a term used to refer to both the whole approach to implementing individual sentences, and to that important ASPIRE process within it, which gives it cohesion for each individual offender. The model so far has outlined the approach at the level of each individual offender – the operational level.

4.2 But understandings of organisations – drawn from evidence-based models like European Excellence – emphasise that in order for core business processes to deliver organisational objectives, the whole organisation must be designed to support them.

4.3 So the last element of the model is the **Whole System Approach**.

4.4 Quite simply, this tells each key support function of the organisation what needs to be done in order to support, maintain and develop Offender Management.

4.5 As with earlier stages of building the model, this Whole System Approach is layered. Each “balloon” on the above model is a significant subject in its own right. Examples of the kind of detailed attention necessary are:



<ul style="list-style-type: none"> <li>▪ <b>leadership</b></li> </ul>	<p>leaders at all levels need to own and promote the model. They need to value those who implement it, in word, deed and through the performance measures they choose (what gets measured gets done; what doesn't get measured doesn't really matter)</p>
<ul style="list-style-type: none"> <li>▪ <b>human resources</b></li> </ul>	<p>all staff need to be clear about task, role and relationship. Roles and responsibilities need to be matched against grade and pay. Quality training and personal development for all roles is essential. Workforce planning needs to ensure the right supply of the right competences</p>
<ul style="list-style-type: none"> <li>▪ <b>resources</b></li> </ul>	<p>a brokerage model requires that there are adequate, accessible resources into which offenders can be referred. The offender management process itself also needs adequate resourcing – it is not, de facto, a low-cost, hands-off way of delivering a complex service</p>
<ul style="list-style-type: none"> <li>▪ <b>partnership</b></li> </ul>	<p>co-operative working relationships with key partners must be developed and sustained, to provide the environment in which teamwork can flourish. Operational partners need to understand the Offender Management model within which they are working</p>
<ul style="list-style-type: none"> <li>▪ <b>policy and strategy</b></li> </ul>	<p>there should be a plan for the development of offender management and relevant policies to support the model. That plan, and associated policies, need to be well communicated to all those involved in delivery. A one sentence:one manager model has wide-reaching policy implications</p>
<ul style="list-style-type: none"> <li>▪ <b>systems</b></li> </ul>	<p>the development of a single case record and of a communication system which provides all members of each Offender Management Team with read and write access is an absolute priority. A case management system should also automate timeline processes, monitor process and measure outcomes</p>
<ul style="list-style-type: none"> <li>▪ <b>structures</b></li> </ul>	<p>a better understanding is required about which local structures best support effective delivery of the key process, in which environments; recently published research (Partridge 2004) supports the one manager:one sentence default. In the community 3-role small team working can have significant effects upon performance</p>
<ul style="list-style-type: none"> <li>▪ <b>monitoring and evaluation</b></li> </ul>	<p>key stages in the process need to be monitored. Short-term outcomes need to be carefully chosen to support the right balance between the “what” and the “how”. Different approaches need to be properly evaluated</p>
<ul style="list-style-type: none"> <li>▪ <b>research and development</b></li> </ul>	<p>important knowledge gaps need to be identified and research commissioned to fill them</p>

4.6 This Whole System perspective needs to be applied at national, regional and operational levels.

## **5 Implementation of the Model**

- 5.1 Offender Management, as described in this model, will have to be implemented incrementally. The model itself provides the direction of travel but not the means. It also provides a single framework into which activity and initiatives which might otherwise seem unrelated will fit.
- 5.2 This document is not intended to provide guidance to areas and establishments about implementing the model. However, in considering how to implement it, areas and establishments will benefit from an overview of what implementation initiatives are already underway, and what the implementation timetable currently looks like.

### **Implementation Initiatives Underway**

- 5.3 The model is already being used to underpin the development of:
- the single case record in NOMIS/TAG, accessible to the case-specific Offender Management Team
  - the North West Region PATHFINDER, examining what needs to be done to turn the model into an operational reality across prison, probation and partners. Early implementation evaluation is scheduled to be available early in 2005/6; outcome results will be available in 2006/7 and onward
  - a small-scale project to develop the notion of a “Going Straight Contract”, located in Guys Marsh Prison and managed by the SWing Partnership
  - the Offender Management workstream of a West of Midlands Regionality Project
  - revised National Standards to complement the Criminal Justice Act
  - a corporate set of terminology to accompany the introduction of some of the CJA measures in April 2005
  - the training and qualification specification for Probation Service Assistant grade Offender Managers in probation
  - a project to scope and define the Offender Management implementation issues for HMPS

### **Future Implementation Timetable**

- 5.4 The future implementation timetable is less certain, but:
- In January 2005, Probation Areas were asked to self-assess and report upon their state of readiness for implementing Offender Management, as defined and described in this document and to agree Offender Management Implementation Plans
  - Probation areas are expected to implement the model in respect of new Community Orders made under the CJA 2003, and licence cases during 2005 / 6
  - A gap analysis is currently being conducted to assess the feasibility of implementation in full, across prison and probation, for PPOs and MAPPA cases in 2005/6
  - The model is being used as the informing framework for the future development of training and qualification for NOMS staff
  - Implementation across all cases in which there is a custodial element of the sentence is dependent, to a major extent, upon the timescale for the implementation of Custody Plus, and resourcing.

## Appendices

Appendix A	The rationale behind the Core Features of the Model in more detail
Appendix B	Role and Task Descriptions for Offender Manager, Offender Supervisor, Key Worker and Case Administrator (Community based)
Appendix C	Full size copies of core Offender Management model and Tiering Framework For ease of copying
Appendix D	Draft proposal for common Offender Management Model language to be adopted as corporate language in NOMS Note that this is a DRAFT proposal. It's status is "work in progress". It has been formulated to combine with work ongoing and related to the implementation of the Criminal Justice Act, to agree a common NOMS-wide terminology for the provisions of the Act and for Offender Management
Appendix E	<b>Research Summaries</b> As the NPD Case Management Development Project of 2003 evolved into the NOMS Offender Management Workstream, various of the informing research and evaluation studies have been condensed into digestible summaries, with a particular focus upon their implications for a model of Case/Offender Management. They do not aspire to being a comprehensive evidence source but are included here for reference

## **1 THE DRIVERS AND SHAPERS OF THE MODEL**

- 1.1 The report of the Correctional Services Review 2003 (the Carter Report) argued for a “new approach to managing offenders”. That “new approach” would make the work of the correctional services more effective. The features of it were to be that it should be “focussed on the management of the offender throughout the sentence”, providing for the “end-to-end supervision of offenders”. This terminology re-appeared in the Government Response to the CSR – “Reducing Crime: Changing Lives”.
- 1.2 In the main, both of these reports concentrated upon the macro-level organisational structures considered necessary for delivering this “end-to-end”, “whole-sentence” form of Offender Management – the creation of NOMS.
- 1.3 In his statement of 20<sup>th</sup> July 2004, the Minister for Prisons and Probation, Paul Goggins MP, announced that immediate efforts would concentrate “on introducing the concept and practice of end-to-end Offender Management”.
- 1.4 NOMS – and all of its constituent parts – needs to be clear then what needs to be done to introduce the concept and practice of end-to-end Offender Management.
- 1.5 Certainly the “concept” needs to be defined in considerably more detail than has been the case to date if we are not to end up with numerous different interpretations of the same language. This definition of concept is what constitutes the major part of our “model”.
- 1.6 We have avoided using the term “model” to describe or refer to the local operational configuration of staff used for delivering it. We use the term “arrangements” for this. Our model (concept) needs to be teased through into operational practice, in a strategic and co-ordinated way. It has been designed to be flexible in this respect. It is not generally prescriptive about how it should be delivered.
- 1.7 The model reflects the analysis in the Carter Report and responds to its concerns. It also satisfies the requirements of the decisions made in Reducing Crime: Changing Lives, as amended by the statement of 20<sup>th</sup> July 2004. In addition to these policy drivers it captures the evidence-base about Offender Management. Some of this comes from what we now know as the What Works evidence and some of it comes from research into “case management” in corrections and in allied services, like mental health and child care, which can then be applied to the particulars of implementing sentences with offenders.

## 2.1 An Offender-Focussed Human Service Approach

What sort of approach to dealing with offenders is “NOMS’ Offender Management”?

- 2.1.1 The term Offender Management is a relatively new one in the lexicon of the England and Wales correctional services. The “management” in it is capable of many different interpretations. For some, to manage something is to be one removed or somewhat distant from it.
- 2.1.2 But the evidence upon which we have drawn all concludes that any positive impact which correctional measures can have upon offenders will rely heavily upon the personal relationships they experience with the various staff with whom they interact. The conclusion then is that the concept of Offender Management should be a human service approach – based upon those personal relationships – rather than an administrative or bureaucratic one.
- 2.1.3 This is not to argue that sound administration, or less personal approaches like electronic monitoring have no place. Quite the contrary. But their place is *within*, rather than *instead of*, a predominantly human service approach.
- 2.1.4 In all but the most straightforward of cases, offenders will experience several or many different relationships with different staff during any single period of engagement with NOMS. This has the potential for making an offender feel that he/she is being passed from pillar to post. The evidence suggests that such an experience is not likely to be effective. It may even be unwittingly counter-productive.
- 2.1.5 It is important, then, that the contributions all these staff – whether within the main correctional services or outside of them – are experienced by the offender as a coherent whole. It is also important that the contribution of each builds systematically upon the other, so that the whole is greater than the sum of its parts.
- 2.1.6 A human service approach, then, needs two other features. Firstly, it needs to be focussed upon how the offender experiences what NOMS does with or to him or her, as well as upon the functions to be performed. Secondly, the different contributions to any single period of engagement need to be somehow integrated. How this is to be achieved will be addressed in more detail later.
- 2.1.7 Offender Management is not a simple business. Rather, NOMS is charged with implementing complex sentences, with people who are usually reluctant, often damaged and demanding – and sometimes dangerous – to achieve multiple objectives, some of which are in tension with one another. Though the model concentrates upon what NOMS staff need to do, offenders are not empty vessels waiting to be filled by our best intentions. What constitutes the right approach in any individual case exists in a complex dynamic with the reactions and responses of the individual. The effective management of this dynamic is a skilled and subtle activity.

## **2.2 A Single Concept of Sentence Implementation, incorporating a Single Language and a Process**

- 2.2.1 The Carter Report made it quite clear that the core business process of NOMS is the effective implementation of sentences of the court. This is not to say that NOMS does not deliver other important business processes - like managing victim cases, or corporate contributions to local community safety strategies - but only that sentence implementation is the core one. It is this process which is at the heart of the concept of Offender Management.
- 2.2.2 There are other processes for which NOMS is responsible, which, like implementing sentences, focus upon an individual offender. Preparing court reports and managing periods of remand are examples. Though these are not about implementing sentences, they have such an overlap with it that they also fall within the scope of Offender Management (though in relation to remands this is subject to resource availability). They are captured by focussing the concept of Offender Management upon each period of continuous engagement with NOMS, rather than just upon any sentence itself.
- 2.2.3 The Carter Report talked about “the silos of prison and probation”. By this it meant that the different contributions to any single offender’s engagement with the correctional system were too much focussed upon that contribution in isolation and not enough upon how it meshed with the other contributions into a coherent whole.
- 2.2.4 In order to begin to break down the silos of prison and probation, at the centre of the model is a single view, or understanding, or concept, of what needs to be done to implement a sentence effectively.
- 2.2.5 This concept is universal. That is, it can be applied to all sentences to be managed by NOMS. It does not, for example, differentiate between custodial and non-custodial sentences. Rather, all sentences are seen as being composed of common elements, of which a punitive element is a universal one.

That punitive element is drawn from a continuum with full-time custody at one extreme, and the requirement to keep a certain number of appointments in a certain time period toward the other. Indeed, the terms “custodial sentence” and “non-custodial sentence” are viewed as being unhelpful in developing cohesion and co-operation, since these terms imply sentences which are fundamentally different to one another. Some of the sentences to be managed by NOMS include a custodial element, and some don’t; but even those that don’t still include a degree of punishment. The same principles of decency, humanity, safety and citizenship apply to this punishment – to unpaid work in the community, for example - as apply to the delivery of custody. Sentences like Intermittent Custody and Custody Plus begin to erode the unhelpful distinction between a custodial and a non-custodial sentence.

- 2.2.4 The concept is inclusive. That is, all the different staff and organisations who contribute to handling individual offenders can see their role reflected in the model. They can also see how their role relates to the roles of others and to the overall objectives to be met by implementing the sentence in question. This sense of relationship is important in helping staff to perform effectively where there is a high level of differentiation of labour in an organisation. It is the reason that corporate plans, missions and visions are communicated widely in the correctional services, rather than to just to a selected few.
- 2.2.5 The concept includes a single process within it. That process provides a universal backbone to all sentences. Around that single process we have built a single language, to replace, in time, the different language used by different parts of NOMS for what is essentially the same thing.
- Take the terms “Supervision Plan”, “Sentence Plan” and “Public Protection Plan” for example; these have each emerged incrementally, over-time, within their own silo and must surely imply to the uninitiated that they are fundamentally different things. But they are not. They are all formats for being clear about who will do what and when in order to achieve the objectives of any given sentence. We shall, in time, replace them all – and their different formats – with a single Sentence Plan.
- 2.2.6 Such confusion of language is one of the features which ensures that different staff stay within their different silos; that is, they understand their work as separate and different to the work of others, rather than as unique contributions to a single, corporate enterprise. The single process, and its common language, will, over time, be embedded in NOMS systems and procedures, like OASys and NOMIS/TAG.
- 2.2.7 This core concept is represented in imagery. An image of the different components of a sentence builds-up progressively, with each one linking to and dependent on the others, to create a whole model. So it is not an hierarchical approach. No single component is more or less important in than the others, though they may be of differing scale to one another.
- 2.2.8 Building-up the model in imagery helps to understand the big picture, and then provides a framework for examining each component of the model in greater and greater detail. This is called a layered model.

## 2.3 A Differentiated Approach

- 2.3.1 The reference earlier to a single concept and a single process could be taken to imply a one size fits all approach. This is not the case.
- 2.3.2 One of the central What Works principles is that resources follow risk – that the scale of intervention deployed in relation to each individual offender should be proportional to his or her likelihood of re-offending.
- 2.3.3 “Resources follow risk” is also a principle of risk management more generally. In a resource-limited environment, we cannot afford to spend more on any individual case than is necessary to achieve the objectives for that case, and we need a consistent way of setting priorities for when the demand upon our services outstrips our ability to supply. We need somehow to incorporate these “resources follow risk” and “minimum necessary” principles into the model.
- 2.3.4 The model of Offender Management draws a great deal from the development of case management in allied services like mental health and child care. The term there does not describe a single way of working, but rather a family of related approaches.
- 2.3.5 At the heart of all of them lies a concept of one person (usually called a Case Manager; Offender Manager in the NOMS model) who is responsible for deciding *how* an organisation will go about meeting its objectives in relation to a single user (or “case”) (assessing and planning). He/she is responsible for ensuring that arrangements are in place to deliver the plan, but others, often from different organisations, deliver the specific inputs which achieve the objectives.
- 2.3.6 But the nature and scale of the resources deployed and the requirements of managing the process, vary from individual to individual. We can understand them as lying along a continuum. At one end of the continuum are less complex offenders, subject to less complex sentences, for whom a limited number of interventions will be deployed, and for whom a straightforward form of Offender Management will perfectly well suffice. At the opposite end are the most complex, demanding offenders, subject to complex sentences, requiring multiple interventions, for whom the management task is a complex, more skilled and expensive one.
- 2.3.7 The model includes a universal framework which will be used to match the scale and style of Offender Management to the needs of each case and the objectives to be met, in a defensible and transparent way.
- 2.3.8 This element of the model has been the subject of extensive consultation within the National Probation Service and is considered robust enough for implementation in the community. Work remains to be done on assessing its applicability during the custodial element of sentences.

## 2.4 A “One Sentence:One Manager” Structure for Delivery

- 2.4.1. In general terms the model is non-prescriptive about how the various concepts and principles should be given practical effect. This is important, since the business of NOMS needs to go on in many different and varied operating environments, and it is unlikely that any one approach to delivery will be universally workable or effective.
- 2.4.2. However, there is one notable exception to this. Continuity emerges from all the research as a vital ingredient in maximising offender compliance, co-operation and change. It emerges from the Carter Report as crucial to securing ownership for the links between the assessment, work done with an offender and the ultimate objectives being pursued.
- 2.4.3. The model incorporates two kinds of continuity. The first is variously called “continuity of care”, “continuity of treatment” or “treatment integrity”. This means that the same overall approach should be deployed, and the same overall plan followed, regardless of who is responsible for delivering each element. Important features of this are establishing the central authority of the Sentence Plan and good communication between the different staff involved. In the model, this kind of continuity is considered necessary, but not sufficient on its own.
- 2.4.4. The second form of continuity we refer to as “relational continuity”. It follows from most of the underpinning evidence that the impact of NOMS upon offenders depends not only upon the continuity and cohesion of *what* is done, but upon that “what” being located in human relationships which are meaningful to the offender and valued by him or her. It follows from the Carter Report that not only should a single agency (NOMS) be responsible and accountable for achieving the desired outcomes, but that wherever possible a single person (the Offender Manager) should manage the whole of the sentence, so that there is a clear sense of accountability for outcomes.
- 2.4.5. In terms of structure, then, the model incorporates a default assumption that there should be one Offender Manager for each period of continuous engagement by one offender with NOMS. It is referred to as a default because we recognise that it will be difficult to achieve in some cases, and impossible in a small proportion. But establishing it as a default assumes end-to-end relational continuity unless there is a sound reason why this cannot be achieved. At the very least it should ensure that the designers of local Offender Management arrangements do not build-in discontinuity as a matter of routine.
- 2.4.6. This one sentence:one manager principle begins to define the specification for who can be an Offender Manager. An Offender Manager must, for example, be capable (both in terms of knowledge and skills, and in terms of structure and location) of functioning effectively in the different environments through which an offender will pass during one sentence. Since (increasingly) most of the sentences to be managed by NOMS will be *completed* in the offender’s home location, and it is in these community environments that the fruits of correctional work will be realised, this means most Offender Managers need to be community based.
- 2.4.7. There will, nevertheless, be some cases for whom a custody-based Offender Manager will be a better option. Examples would be sentences spent wholly in custody, or in which the custodial part is very long compared to the community part or offenders released without any statutory post-release licence. In time, it is possible too that others, in the right location and structure, and with the right skills and accountabilities, might act as Offender Managers, either generally, or for specific cases.

## 2.5 A Brokerage Model

- 2.5.1 The “one sentence:one manager” principle should not be taken to imply that the model expects one person to do everything which needs to be done to implement a sentence effectively. Quite the contrary. The NOMS vision is of interventions (both punitive and rehabilitative ones) being commissioned increasingly at a regional level from an increasingly wide range of providers. In the main, Offender Managers will *broker* a programme for an individual by drawing down those resources. It does not envisage Offender Managers themselves as either being the commissioners or purchasers of resources for individual cases, other than, perhaps, in relation to infrequently occurring needs.
- 2.5.2 This has clear implications for the role of service managers or commissioners. If the required resources are not there, or Offender Managers cannot secure easy access to them for the offenders for whom they are responsible, the basis of the whole model breaks down. So the model begins to shape the roles of staff other than those working directly with offenders.

## 2.6 A Partnership and Teamwork Model

- 2.6.1 How - one might ask – is continuity, cohesion and synergy to be achieved in a model in which different people, often from different organisations, at different times, do different things with any given offender? The answer lies in teamwork.
- 2.6.2 The model defines an **Offender Management Team** as that group of people who need to work together to implement a Sentence Plan for a single offender. These people may work within the main correctional services, or in organisations which are in partnership with them. Partnership is understood as the relationship between organisations, which creates the environment in which effective teamwork can flourish.
- 2.6.3 The model argues for thinking of each case as a project. It then applies contemporary best practice principles about project management to *this* team. This has implications for roles (the Offender Manager is the Team Leader), policies (the Sentence Plan is the project plan with which everyone in the team should be familiar) and systems (the communications system needs to facilitate real-time communication between these team members).

## 2.7 A Whole System Approach

- 2.7.1 The model finally argues that for Offender Management to be effective it has to be understood as being about more than the practice of front-line staff. Offender Management is NOMS core business process and organisational support functions need therefore to support and nurture it. It asks – and proposes answers – to a series of questions about what Offender Management implies for leadership, human resource management, structures and systems, resources etc. It follows each of these implications through into action required. This is called the model’s Whole System Approach.

## Appendix B

Role Description – Offender Manager	
<b>The Accountable Officer</b>	The Offender Manager is the person who has overall operational responsibility for the offender/sentence in question. He/she is accountable for delivering the sentence's objectives, to the extent that these are not delivered on a corporate basis
<b>The Assessor</b>	The Offender Manager is responsible for assessing the offender's risks, needs and potentials and for weighing these together with the requirements of the sentence, any relevant policies, priorities and resource issues. Wherever possible this should be done with the offender. Once a plan has been formulated, the Offender Manager becomes the hub of the team's communications, and adjusts the assessment and the plan in the light of incoming information
<b>The Planner and Plan Owner</b>	The Offender Manager is responsible for drawing up the Sentence Plan. This should span the whole sentence. Wherever possible this should be done in collaboration with others whose co-operation will be required to deliver it. The process of formulating the plan should engage the offender as an "active collaborator". Only the Offender Manager may change the plan.
<b>The Team Leader</b>	The Offender Manager is the team leader of the Offender Management Team for the case in question.
<b>The Director</b>	The Offender Manager is responsible for ensuring that the arrangements are in place for delivering the plan, and for continuously overseeing that delivery.
<b>The Synthesiser</b>	The Offender Manager is the person who straddles all aspects of the case and who helps the offender make the links between the different interventions. He/she makes arrangements to ensure that the offender experiences the sentence as a single, coherent whole, and that its whole is "greater than the sum of its parts"
<b>The Enforcer</b>	The Offender Manager is responsible for ensuring that those punitive elements of the sentence which are not "automated" are in place and delivered, and that the offender complies with them (insofar as his/her co-operation is required), and that relevant action is taken to enforce the sentence if required
<b>The Evaluator</b>	The Offender Manager is the person responsible for evaluating the impact of different contributions and of the sentence plan as whole, and for informing the commissioners of resources/interventions about the performance and impact of specific interventions

Task List – Offender Manager	
Undertake case assessment	Use OASys and supplementary assessment formats to assess individual Assess sentence requirements and the relationship between these two, policies, priorities and resource considerations
Formulate Sentence Plan	In collaboration with offender and resource providers, draw together assessment of individual, offending history, requirements of sentence, relevant policy/priority requirements and resources available into single sentence plan
Allocate resources to plan	Allocate the case to a resource level using the tiering framework
Set in place arrangements for implementation of plan	Ensure that everyone knows role and responsibilities and that arrangements are in place to implement plan; broker resources as required
Lead case-specific Offender Management Team	Act as hub for information sharing and joint working Chair "team" to plan and monitor progress Ensure that communication functions between team members
Monitor implementation of plan	Ensure that information flow systems are in place in order to be able to adequately track progress
Monitor the risk factors	Ensure that intervention providers and any supervisor are aware of key risk factors in the case Receive incoming information from interventions, supervision and third parties about progress, issues and associated risk factors
Review progress of plan, re-assess and adjust plan as necessary	Review working assessment in light of incoming information and adjust plan incrementally and, periodically, more formally
Evaluate impact of plan against objectives	Complete overall evaluation of outcomes at end of case, in prescribed format; feedback to Service Managers on impact and quality of service providers
Make enforcement decision in the event of breach	Make enforcement decisions if required; trigger enforcement procedures and prosecute as required

## Offender Manager – Some Design Questions

Who may perform the role of Offender Manager?	<p>Someone who understands the model in which they're working and their relationships with others in a systemic approach</p> <p>A Team Worker</p> <p>Someone who will – all things being equal – be able to see the case through from sentence to termination</p> <p>Someone with the required knowledge and skills</p> <p>Someone who's context enables them to function effectively in the offender's resettlement locality</p>
Different specifications of Offender Manager for different cases?	<p>Yes, most certainly</p> <p>Within the 4 tier framework:</p> <ul style="list-style-type: none"> <li>• DipPS (or CJ equivalent)/NVQ 4 or equivalent for Tier III and Tier IV cases</li> <li>• Cert in CJ/NVQ 3 or equivalent for Tier II and Tier I cases</li> </ul>
Should the Offender Manager also be the Offender Supervisor?	<p>Yes, generally. Varies by tier – recommended for higher tiers</p> <p>Overall model – not envisaged that Offender Managers will be simply the “assurors of the process”; need to be Community Justice qualified/experienced and to have enough “hands-on” contact with offenders to maintain knowledge, skills and confidence</p>
How should a local Offender Manager structure be designed?	<p>Structure needs to be offender focussed, not function focussed.</p> <p>Cases will need to be streamed</p> <p>Design should avoid fragmenting the end-to-end process; small group work provides insurance against unavoidable discontinuity</p> <p>Different streaming criteria have different pros and cons</p> <p>In general, beyond streaming by geography, risk (of harm and re-offending) and dominant criminogenic factor offer the best prospects</p>
Are Offender Managers an in-house or outsourced provision?	<p>Constrained to in-house for time being</p> <p>Pilot projects in future to outsource to other agencies or selected individuals?</p>
Offender Manager quality assurance?	<p>Framework needs to be developed for the monitoring, supervision and development of Offender Management and Offender Managers</p> <p>Need to match output measures (National Standards compliance, programme completions) with process or quality measures (consistency, commitment, consolidation)</p>
What Offender Manager support infrastructure is required?	<p>Effective leadership which understands and values the role</p> <p>Electronic real-time communication and case recording system, which automates much of process</p> <p>Appropriate range of resources and interventions, with easy access</p>

## Role Description – Offender Supervisor

<p>This role has various role titles at present. “Case Supervisor”, “Case Co-ordinator”, “Case Worker”, “Mentor” and “Personal Officer” are all terms in current usage which cover all or part of the role. The proliferation of role titles will be rationalised over time.</p> <p>The role may be combined with that of Offender Manager in a single person; it may also be split between – say – an Offender Manager and an Offender Supervisor</p>	
The Continuous Human Link	The Offender Supervisor provides the continuous human link between the sentence framework and the offender. This has been shown to be important in the effective implementation of sentences
The Motivator-Encourager	Through personal behaviours, and applied techniques, the Offender Supervisor is responsible for generating enough motivation in the offender to – at least – co-operate, and – at best – strive to achieves the objectives of the sentence
The Preparer	The Offender Supervisor prepares the offender for the different interventions which make up the Sentence Plan. He/she maximises the likelihood that the interventions will have the desired outcome
The Dismantler of Obstacles	<p>The Offender Supervisor “oils the wheels” of engagement between the offender and the providers of specialist services and interventions</p> <p>The Offender Supervisor monitors the offender's attitude and circumstances, is sensitive to changes which may become obstacles to engagement, and works to de-construct them, be they practical, emotive or cognitive</p>
The Coach	The Offender Supervisor works with the offender to link learning from one intervention to another, and into his/her daily environment. He models new skills and attitudes, helps the offender practice them, praises achievement, supports through setbacks and thereby consolidates new learning into “normal” behaviour
The Progress Monitor and Reporter	Acting across the plan as a whole, the Offender Supervisor collates and co-ordinates information, sharing it with the Offender Manager, with particular reference to when information emerges which appears to be at odds with the existing “operating assessment”, or when significant progress has been made
Offender Management Team Member	<p>The Offender Supervisor works together with other team members to implement the plan in such a way that it coheres for the offender</p> <p>He/she communicates key information to other team members and the Offender Manager</p> <p>Participate in and contribute to team reviews and evaluations</p>

## Task List – Offender Supervisor

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The role may be combined with that of Offender Manager in a single person..

Form and maintain effective working relationship	Show genuine interest in offender. Be reliable. Be responsive. Skilful use of "tell – guide – support" communication modes. Appropriate use of authority
Model pro-social behaviour	Consistently praise pro-social behaviour and attitudes; challenge anti-social behaviour and attitudes. Behave pro-socially in own behaviour
Broker resources in accordance with plan	Make arrangements for delivery of services; negotiate with providers; achieve co-operation
Motivate offender	Deploy brief motivational techniques to increase ambivalence
Prepare offender	Rehearse expectations; deconstruct barriers to engagement; ensure offender not inhibited by mythology or misconception. Practice attendance routines.
Support offender	Show interest in progress; praise compliance; counter inertia; intercept barriers
Coach offender	Revisit new learning. Model and guide offender in skills application.
Liaise with service providers to co-ordinate services	Ongoing communication between Offender Manager, offender and interventions to co-ordinate plan delivery; ensure everyone knows whole picture as far as possible
Advocate on behalf of offender	Argue the case for the offender if intervention providers reluctant or set-backs encountered
Link and contextualise learning	Help offender understand links between learning in different interventions; help offender make links between new learning and day-to-day environment
Rehearse new learning and skills	Make sure that new skills are practised; resist learning attrition; repetition
Consolidate new learning	Persistence; once is not enough; check regularly that new skills and behaviours are still being deployed; repeat until new behaviours habitualised
Prevent relapse	Be aware of relapse risk factors; intercept as they rise; react with support if risk factors rise
Work collaboratively with other members of the Offender Management Team	Attend and contribute to case reviews. Ensure relevant information flows between team members. Support other team members' contributions

## Offender Supervisor - Some Design Questions

Who should be an Offender Supervisor?	People with an active interest in offenders, a "benign curiosity" Relationship people Motivator/encouragers Team workers
Should Offender Supervisors be in-house staff or out-sourced?	Could be either, subject to suitable arrangements for training, accreditation, support, accountability and communication
How can the Offender Supervisor/Offender Manager relationship be made to work well?	Mutual respect Clear understanding of different roles and relationship between roles Good communication Collaborative approach Offender experiences different staff as complimenting one another and working well together
Can the Offender Supervisor role be shared between different people	In theory, yes What's important is that the different people together understand the role, their relative responsibilities within it, and their relationship with the Offender Manager Also, as above, important that the offender understands the different roles of the different people and experiences them as working cohesively together
In which cases is it important that the same person be Offender Manager and Offender Supervisor?	Vital to reduce risks of fragmentation in Tier 4 cases; so, presumption in favour of Offender Manager being Offender Supervisor in these cases Tier 3 cases – also important that Offender Manager is "hands-on" but some supervisory work could be delegated Only in Band 1 cases might the Offender Manager hold no supervisory duties at all (i.e. function purely administratively)
Who is the Offender Supervisor in in-custody cases where distance prevents the Offender Manager from also being the Offender Supervisor?	Not yet resolved, but perhaps..... Tier I and II cases, Prison Officers in role as Personal Officer or out-sourced "mentor" Tier II and III cases, seconded PSO or specially trained prison officer (e.g. OASys assessor) or out-sourced "mentor" Tier III and IV cases, specially trained prison officer or seconded PO

## Role Description – Service Provider (Key Worker)

The arrangements for the delivery of many interventions will include the nomination of a single point of contact (or Key Worker) to act as the “bridge” between the Offender Manager (Supervisor and Administrator) and the Service being provided. This is not mandatory. Note though the risk involved if responsibility is not clearly designated – everyone’s responsibility can easily become no-one’s responsibility

Deliverer of Specialist Intervention	Delivering the required intervention, within the framework of the single, governing Sentence Plan, in accordance with the standards and specifications applicable to the provision in question
Offender Management Team Member	Working together with other Offender Management Team members to ensure that the sentence coheres for the offender, and that the delivery of each component is set in the context of the rest of the sentence Communicating key information to other members of Offender Management Team and Offender Manager Monitoring key risk factors as identified by the Offender Manager and informing the Offender Manager when risk factors change Contributing to shared review and evaluation

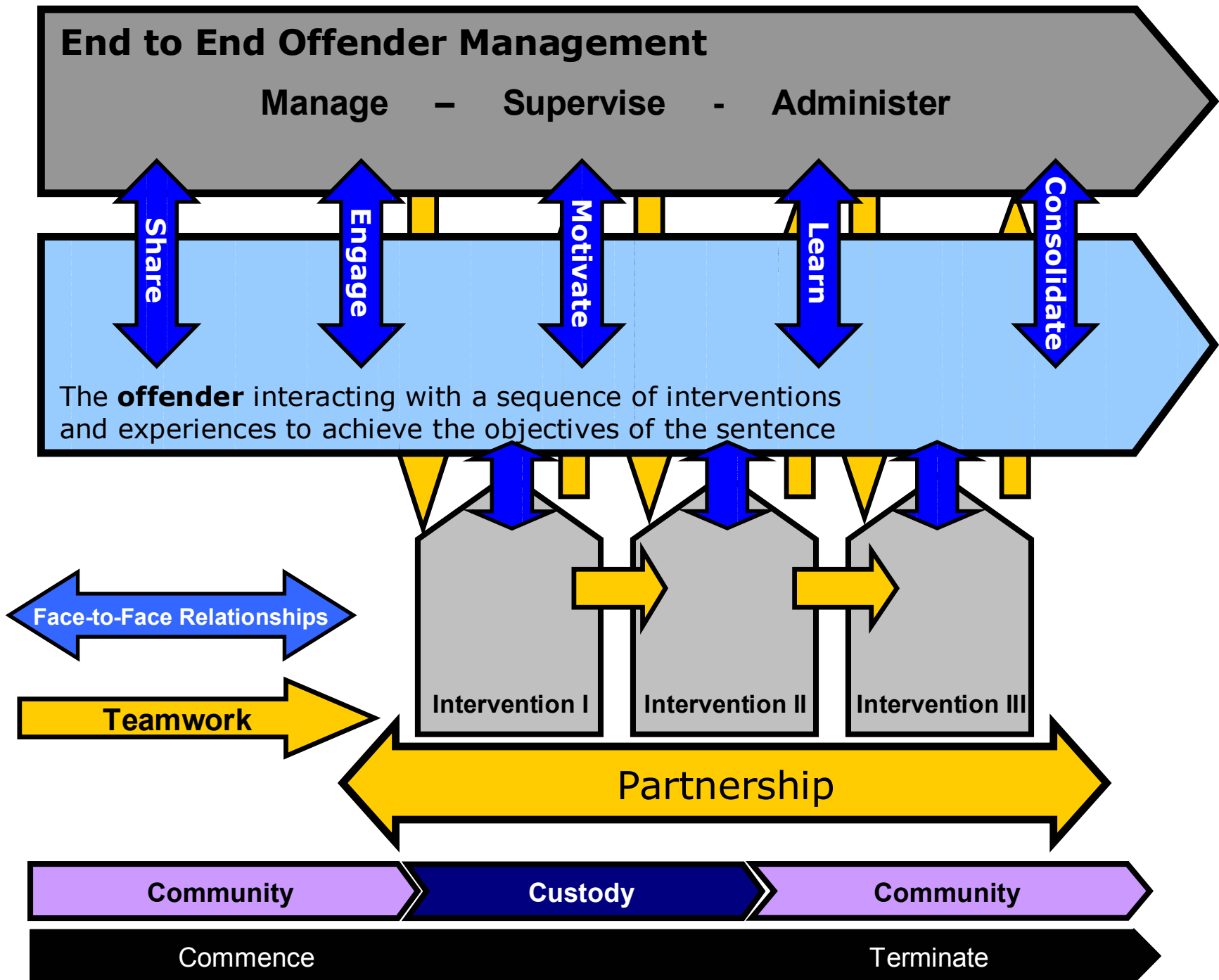
## Task List – Service Provider (Key Worker)

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Ensure understanding of whole sentence plan and different roles within it	The Key Worker should ensure that he/she has a copy of, or is familiar with, the Sentence Plan and is fully aware of whole plan and who does what within it
Model pro-social behaviour and attitudes, and continuously motivate offender	Consistently praise expressions of pro-social attitudes and pro-social behaviours; challenge anti-social attitudes and behaviours Model pro-social behaviours in own practice Motivate through “corridor conversations” Support other elements of Sentence Plan
Deliver specialist service according to service specification or standards	
Communicate key developments and progress to Offender Manager	Use database or other communication tools to ensure Offender Manager has overall picture of activity, progress and issue in case
Communicate key developments to other members of Offender Management Team on “need to know” basis	Use database or other communication tools to ensure that other service providers within Offender Management Team are aware of significant developments which may impact upon their service delivery
Contribute to intervention and overall case review	Participate in required format in reviews of impact of the specific intervention, and the sentence plan as a whole

## Role Description – Case Administrator (Community)

Ensure that case is set up on database	Enter case onto approved database
Invoke arrangements for non-discretionary requirements	Organise and/or arrange non-discretionary elements of sentence, pending commencement assessment
Produce relevant case documentation	Produce and part-complete relevant case documentation – OASys, Sentence Plan, review documentation, case-specific procedures etc
Set up and administer Offender Management Team	Ensure all members of Offender Management Team are set up with access to case record Distribute Sentence Plan to all members, highlighting individual responsibilities Monitor changing OMT membership and adjust access to record
Administer Sentence Plan	Make practical arrangements (appointments, directions, details) for implementation of sentence plan
Monitor compliance and report to OM	Track what should be happening at any one time with offender; monitor that it has, record, exception-report to Offender Manager
Schedule reviews	Track formal review schedule for case; trigger review process in good time
Administer reviews	Convene Offender Management Team for team reviews; record, administer paper work for non-team reviews
Administer enforcement proceedings	Implement local enforcement procedures after enforcement decision made by Offender Manager; report progress to Offender Manager
Produce case monitoring data	Generate required management information at case and caseload levels



Resource Allocation Increasing in Tiers

### Tier 1

Modality = punish,  
monitor, signpost

### Tier 2

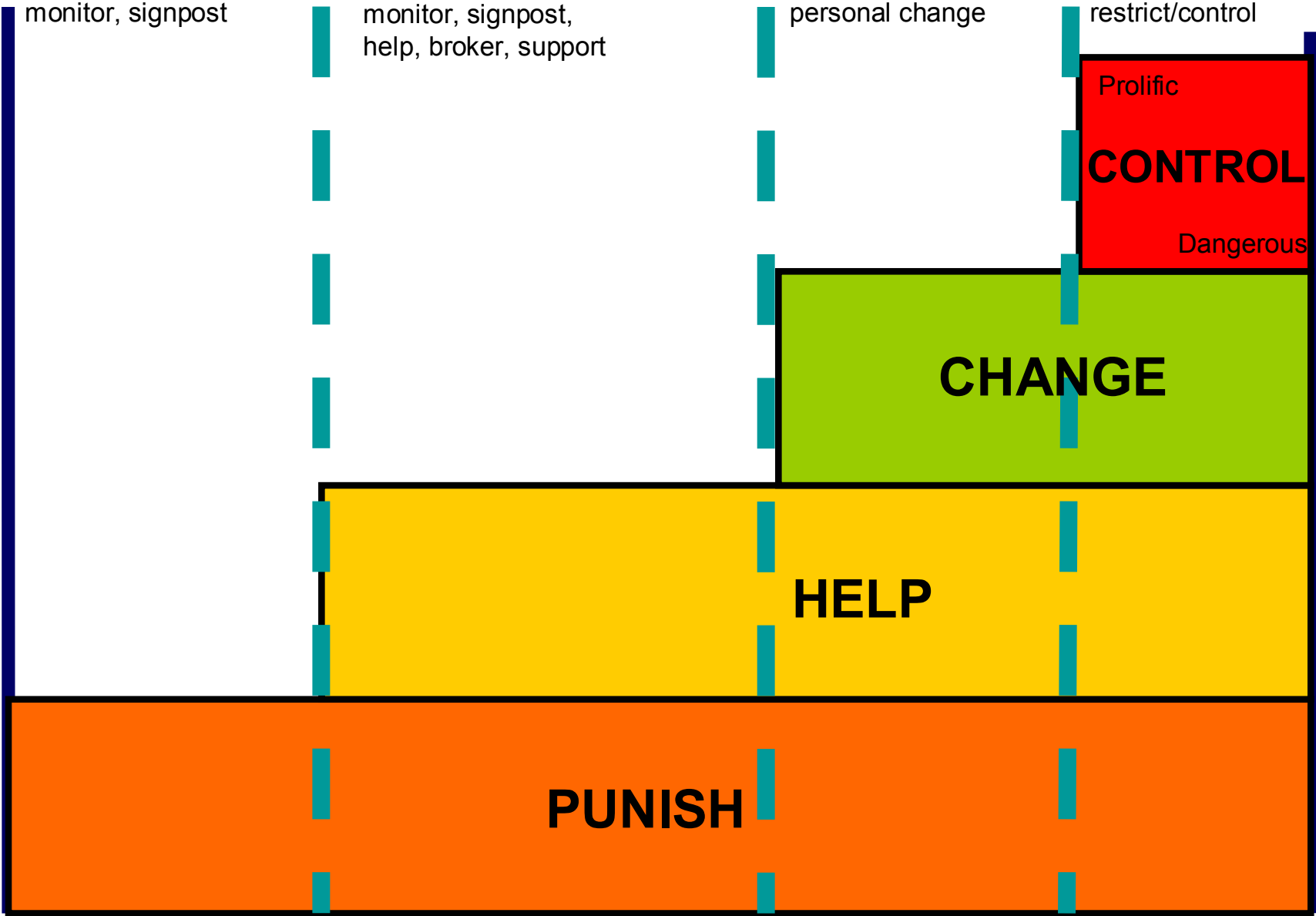
Mode = punish,  
monitor, signpost,  
help, broker, support

### Tier 3

Mode = tier 2 +  
personal change

### Tier 4

Mode = tier 3 +  
restrict/control



Increasing complexity of sentence + risks posed by offender



## NOMS Delivery Team Offender Management Workstream



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### The “New” Language of Offender Management

Our NOMS Model of Offender Management is designed to create a single process of sentence management/implementation around which the different providers of different aspects of each sentence can unite. Accordingly, it is important that the model uses a single, consistent suite of terms, selected, as far as possible to be descriptive of the roles, tasks and processes in the model.

USE	INSTEAD OF	FOR
<b>Offender Management Approach or Model</b>	Case Management Approach or Model	Referring to the whole approach to working with offenders in NOMS, an approach in which one person determines the overall “shape” and direction of the sentence whilst others deliver specific elements of it, within the framework of a single plan
<b>Offender Management</b>	Case Management	The application of the general concept of case management to the particulars of working with offenders in NOMS The integrated process within the overall approach which spans the whole sentence, giving each case its “shape”, direction and pace. Sub-divided into “management”, “supervision” and “administration”, where <ul style="list-style-type: none"> <li>▪ “management” consists of assessing, planning, implementing the plan, reviewing and re-planning, evaluating and taking corrective (enforcement) action</li> <li>▪ “supervision” consists of the day-to-day face-to-face activities required to achieve compliance and co-operation, and</li> <li>▪ “administration” consists of the work required to ensure that the conduct of the case meets and complies with the timescales, deadlines and standards associated with the sentence</li> </ul>
<b>Supervision</b>	(sometimes) Mentoring	The day-to-day, face-to-face processes involved in securing compliance with the plan, motivation to co-operate, and in consolidating the learning from interventions into routine behaviour in the offender’s home social environment
	Case Co-ordination	
	(sometimes) casework	
<b>Arrangements or Local Delivery Arrangements</b>	Model or local model	The local operational configuration of staff, roles and services designed to deliver the model
<b>Offender Manager</b>	Case Manager	The person – of whatever grade and from whichever agency - with allocated responsibility for assessing what each case (offender) requires, for planning its delivery and for co-ordinating that delivery; as far as can be assured, the same person throughout any single period of continuous engagement with NOMS
	Supervising Officer	
	Responsible Officer	
	(any of the above +) Probation Officer	

<b>Offender Supervisor</b>	Caseworker	The person responsible for implementing the Sentence Plan on a day-to-day basis, dealing with the offender face-to-face, enhancing motivation, securing compliance, helping the offender make the links between one intervention and another, and consolidating learning into consistent behaviour in the offender's social environment. Most likely to be the same person as the Offender Manager, but in certain circumstances, the roles will be split
	Case Co-ordinator	
	Case Supervisor	
	Personal Officer	
	Resettlement Officer	
	(sometimes) Mentor	
<b>Case Administrator</b>	Clerical Assistant	Person responsible for ensuring that the sentence is implemented in line with specified timescales, procedures, deadlines and Standards. May be the same person as the Offender Manager or Offender Supervisor
	Administrative Assistant	
<b>Intervention</b>		Resources deployed, or facilities used, bounded by a particular objective or a specific issue, usually limited in time, rarely spanning the whole of the sentence
<b>Punitive Intervention</b>		Intervention deployed to achieve the punitive objective of the sentence, or implement a punitive requirement. Imprisonment, unpaid work, a curfew or Attendance Centre attendance, for instance
<b>Restrictive Intervention</b>		Intervention deployed, discretionary or to comply with a requirement of the sentence, to control the offender's movement or activity, in the interests of public protection. Exclusion Requirement or surveillance programme, for instance
<b>Constructive Intervention</b>		Intervention deployed to achieve positive change or improvement
<b>Protective Factors</b>		Factors in an offenders circumstances which restrain deterioration, or promote improvement
<b>Barrier Factors</b>		Factors in an offenders circumstances which, left untackled, prevent or seriously inhibit positive change
<b>Programme</b>		Fixed term and fixed content series of inputs and/or activities "licensed" by the Correctional Services Accreditation Panel
<b>Offender Management Team</b>		That group of people, from whichever agency, who need to work together in order to implement a single sentence plan for a single offender in a way such that the offender experiences the sentence as a coherent, cohesive whole
<b>Sentence Plan</b>	Supervision Plan (and existing use of Sentence Plan) Public Protection Plan	The single plan, drawn up by the Offender Manager, shared with the Offender Management Team, which spans the whole sentence, and which describes what is to be done by whom and when in order to achieve all of the objectives for which the sentence to be implemented was passed, and any other objectives associated with implementation of the sentence defined by other relevant legislation
<b>Systemic</b>		Approach in which different people do different things at different times in order to contribute to a whole, in which the whole is greater than the sum of its parts

## Case Management: Context for Supervision (Holt – August 2000)

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Paul Holt's monograph doubles-up as a literature review and forms part of the research project in the North West Probation Region into implementing What Works. The project was conducted by De Montford University.

He summarises research more generally into case management (typically in health and social services), and integrates it with corrections What Works research. He identifies a spectrum of case management approaches, differing from agency to agency dependant upon the agency context and purpose and the nature of the client or user group. With varying levels of personal involvement, the role of a case manager is defined by a managerial sequence of tasks (assessing, planning, overseeing implementation, reviewing) supporting a process of linking, boundary spanning and integrating. Holt

**Recommended** that the Probation Service should:

- clarify the relationship between agency goals and case management's role in achieving them
- clarify the theoretical model that is to be adopted
- identify its main constituents
- develop an evaluative tool for measuring the effectiveness of the proposed model, in particular the relationship between process and outcome

**Suggested** that in developing a case management model:

- attention be given to the integrative process of case management as well as its core functions
- Ross' work (1980) may provide the basis for the differential development of case management models relevant to the probation setting, to take account of varying levels of offender risk and/or complexity of criminogenic need
- the utility of the supervision plan is recognised for the provision of opportunities for putting learning into practice, based on "task-centred" models of social intervention
- there is recognition of the need for a standardised tool for measuring offender motivation

**Noted** that any model of case management "must also have utility in furthering a dual agenda, namely delivering effective practice and enhancing compliance and completion rates"

**Argued** that a model should integrate the core functions in a manner characterised by consistency, continuity, consolidation and commitment.

**Mapped out** a case management agenda for the Probation Service, which included:

- the design of a clear, unifying national model, with the ability to differentiate supervision between offenders, and focussing on the integrative components
- attention to the evaluation of process as well as outcomes
- attention to supporting structures, IT and training requirements

and **concluded** that a case management model *could* be designed for the Probation Service which would greatly enhance its ability to deliver on the effective practice agenda.

# “Meeting Offenders’ Needs”

## Bill Beaumont, Brian Caddick and Hilary Hare-Duke



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This research study was published in July 2001 jointly by the School for Policy Studies, The University of Bristol and the Nottinghamshire Area of the National Probation Service

The fieldwork took place in the Nottinghamshire Probation Area between October 1999 and February 2000. Broadly, the study set out to examine how well the Nottinghamshire “framework for community supervision” (case management arrangements) met the offending-related needs of offenders subject to probation and combination orders. It drew upon 105 offender interviews, 226 ACE assessments, 174 ACE offender self-assessments and selected interviews with both probation staff and staff of organisations in contractual arrangements with probation, to provide specific offender services.

Though not explicitly defined as such, the study might be categorised as a “Compliance Study”. All of the offenders interviewed had completed a substantial period of their orders; some had been breached for failure to comply but the orders were continuing. The sample does not reflect the views of offenders who failed to comply and whose orders were terminated as a result. The interviewing schedule sought to identify “characteristics of offenders most likely to consider supervision in general, and the use of specialist resources or partnerships in particular, to be effective in reducing offending”. As such, it might be argued that it takes “supervision” as a “given” and assumes that differential rates of reported effectiveness are related to characteristics of the offender.

The study separated out a group of offenders representing the “worst experiences” of supervision and another group representing the “best experiences”. These “experiences” related both to the one-to-one “baseline” of supervision and to interventions including groups and partnership projects. The two groups were contrasted. Some of the findings most relevant to case management practice and arrangements were:

Finding (direct quotations)	Implication
As with the “worst experiences”, the “best experiences” seemed to reflect the characteristics of contact with the probation service rather than the personal characteristics of our respondents	Effective offender supervision seems to require a strong central co-ordinating thread, based on a one-to-one relationship with a named individual which has certain qualities, around which appropriate interventions can be organised
Underlying all these factors (the contrast between the “best experiences” and “worst experiences” groups) the failure to provide our “worst experience” respondents with good quality one-to-one supervision seemed to be the critical failure in most cases	
One striking feature of the “best experiences” group is that they almost all seemed to agree strongly with the probation service about the problems they faced and should work on	Problem definition and supervision planning should be a participative, clinical process as well as a bureaucratic one
A striking feature of the “best experiences” group was that 12 out of 15 remembered clearly the supervision planning process and had found it helpful	
Another very striking feature was that all 15 of the “best experiences” group had a substantial period of working with an individual probation officer	Design case management arrangements which avoid “institutionalised discontinuity”. Mitigate unavoidable discontinuity with good communication; engage the offender in the process

The study has all the limitations of a self-report methodology. In particular, the offender interviewees were remarkably uncritical of their experience of supervision. It may be that balancing the interviews of compliers with non-compliers would produce a more critical result. Secondly, there was no external validation of the self-reported “best and worst experiences” in terms of the formal outcomes of supervision, such as re-offending rates. Other studies have shown offenders to be overly optimistic about their prospects of resisting further offending, when compared with their actual re-offending rates.

It remains reasonable, though, to assume that there is a relationship between offenders’ perceptions of the impact of supervision and the actual impact, even if that association is not as strong as offenders believe. This study is a useful addition to the body of knowledge about what qualities and content supervision requires if it is to impact positively upon offenders.

# “The Life-Course of the DTTO: Engagement with Drug Treatment and Testing Orders”

## Mental Health Section, SHARR, University of Sheffield

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This research study was commissioned by the South Yorkshire Area and published its findings in 2002. The area's DTTO model was a highly individualised one, in which a complex, multi-intervention, 5-day-a-week plan was developed for each case. Each had an overseeing Probation Officer Case Manager and a PSO mentor (entitled Case Co-ordinator). Given the offender target group, the area found itself achieving compliance rates higher than it had anticipated. These rates were somewhat counter-intuitive. The research was commissioned to examine offenders complying with the regime in an attempt to identify factors associated with that compliance.

Whilst based on relatively small numbers, the study employed a rigorous Grounded Theory approach. In such an approach, open-ended questioning is used in “round 1”. Responses are analysed to develop theories. These are then formulated into structured interviews in “round 2” and so forth, until a round of interviews throws up no new theories. This occurred on the third round.

The study identified a clear 3-stage change process, although the timing of each stage is specific to each individual. In the first stage, structure, order, organisation and the early availability of the critical treatment (in this case, medical drug treatment) was important. A highly structured, individualised alternative was valued by those offenders who had been able to break into habitual behaviour patterns. Consistency, good organisation and effective teamwork were features of the successful delivery of this stage. Delay in implementing the new regime was fatal, and interpreted by offenders as indicative of a lack of real commitment.

In the second stage, the focus of value for offenders shifted from sheer activity to a keener appreciation of the inherent benefits of the activities and interventions. Accredited programmes and other learning interventions had most value in this stage. In the third stage self-actualisation was important. Offenders typically re-interpreted their earlier experiences on the order as less important, and their achievements as being the result of internal resolve as opposed to external influences. The researchers concluded that this was an important process to complete if new behaviour was to become sustained behaviour. The presence of this 3-stage rehabilitation process has some clear implications for the deployment and sequencing of interventions, and for the continuous assessment of offenders.

The quality of relationships with staff was critical throughout. Though the focus of staff *activity* needed to change with the stages of the order (the “what”), there were consistent messages about *style* (the “how”). Positive engagement was associated with openness, realism, optimism, commitment. Inconsistency, from the same staff member or between staff members was problematic to offenders. The challenge of responsivity was evident – different offenders experienced the same staff behaviour differently. For example, a clear, uncompromising approach to boundary setting was, for some offenders, evidence of commitment, whilst for others this was evidence of an uncaring approach from staff “going through the motions”.

The research paper itself identifies the limits of the study. It was cross-sectional rather than longitudinal, and too small to show up gender or race differentials. It was limited to DTTO cases, who are defined by the persistence of their offending, the assessed treatability of their drug misuse, and the relationship between that drug misuse and criminal behaviour. On the other hand, it might well be argued it is only resources which limit the application of the DTTO approach and that a much bigger “slice” of the offender population would benefit from a similar approach.

In terms of case management, the messages from this research are wholly consistent with other findings about what makes for the effective supervision of offenders. The 3-stage progression supports a notion of the sequencing of interventions to achieve, sequentially, order/structure which then facilitates new learning, which is then subsequently consolidated and “normalised”. The study also reaffirms that the interventions need to be anchored into a sound underpinning infrastructure. This needs to be personal, committed and genuine, responsive and adaptable, skilled at engaging, motivating and sustaining. Its focus must be on end-to-end management of the change process, rather than any specific element of it. Finally, the required intensity and appropriateness of interventions, particularly in the early period of supervision, cannot be achieved without effective teamwork and good organisation, and a whole-system approach to the commissioning and management of intervention resources.



## **“The Effective Management of Programme Attrition”**

**Kemshall and Canton, De Montford University, (2002)**

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This study was commissioned by the Welsh Region of the NPS as one of the first tranche of performance improvement projects following the first probation area self-assessments using the EEM model. It focussed upon the growing problem of pre-programme attrition from the most prevalent general offender programme – Think First, though its findings would inevitably have wider significance.

The study was conducted by area questionnaire followed by a series of regional day seminars. In these seminars, areas pooled any existing attrition databases, teased out for themselves what they saw as the main source or sources of attrition in their area and generated local and regional improvement action plans.

Predictably, perhaps, the study found no single factor to which programme attrition could be attributed. There was no consistent definition of attrition, nor yet a consistent way of monitoring it. This inhibited well-focused action. There was room for improvement at each stage of the Accredited Programmes process. In some cases targeting was poor, in others pre-programme preparation was inadequate, in yet others insufficient attention had been given to de-constructing logistical barriers to engagement, like transport issues. The study highlighted pockets of good practice in relation to each of these aspects, but a lack of overall consistency.

Beneath these breakdowns at particular points in the programmes process were two wider, thematic issues. The first was related to culture. Programme engagement was considered to be better where a whole area had embraced an attendance culture toward programmes. This was evident from the messages of leaders down to an allocation culture in PSR writers. Where areas had been more successful at harnessing all staff behind the corporate vision, attrition was reported as being less of a problem. The potential problems associated with fragmentation of the supervision process, caused by arrangements in which different people dealt with different aspects of the supervision of the same offender, were overcome by each conveying a consistent message, by a pervasive motivational approach, and by all staff modelling pro-social behaviour.

Most fundamentally, though, the study highlighted the way in which a whole-order focus to supervision had been undermined by successive attention to single issues within the case management process. This single-issue focus had resulted, prevalently, in a disconnection between programme delivery and the underpinning case management process.

“Programme integrity has been extensively considered and emphasised, but there has arguably been less attention to the integrity of the overall relationship with the Service.....What is required is a way of structuring the entire supervision period as a coherent and seamless experience designed to reduce further offending” and “....it is reasonable to assume that ‘whole organisation’ commitment should translate into higher performance levels”.

Its most telling recommendations were associated with a shift in focus from single-issue to whole-order performance. The “case management” aspects of the management of each case needed “re-energising” on a par with programme delivery. Leadership needed to promote and model this shift. There should be an initiative to “design and implement a model for the integration of case management and programme work”. Clarity about the role and tasks of case management should be established. The therapeutic/integrative function of case management, rather than the bureaucratic function, should be emphasised in the model.

This was not an empirical study. The rigour of the methodology was limited by the tight timescales. It constitutes more “intelligence” than evidence.

# “Evaluation of Case Management Pilot: October 2001 – March 2002”

Merrington/West Yorkshire Probation Area (May 2002)

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This evaluation study was commissioned by the West Yorkshire Probation Area as an integral element of the implementation of a revised service design, a process which begun in 2001. Revised case management arrangements were defined and four pilot sites were selected as the focus of the evaluation. The supervision of community orders and release licences was included, but community punishment was not.

The key elements of the new case management arrangements were:

- a “re-badging” of supervisory teams as Case Management Units
- the formal designation of probation officers as Case Managers
- a distinction drawn between “management” of a case and “casework”, where “management” describes an overall responsibility, expressed through a sequence of core tasks while “casework” describes the day-to-day, face-to-face work with the offender and providers of specific interventions
- within the overall Case Management mix, a graduated delegation of tasks to PSO grade Case Workers, based upon a risk matrix
- the enhancement of the role of Case Administrators to free-off community justice staff for direct offender or provider-based work
- the appointment of Practice Developers intended to enhance Case Management performance

Nine objectives or standards were articulated. The evaluation sought to determine to what extent the new arrangements had achieved those objectives and standards. Its methodology consisted of structured interviews with personnel in different roles, including staff from intervention providers, interviews with offenders and a case file read.

Predictably, perhaps, at only 6 months into the new arrangements, there were mixed responses to questions about the extent to which the new model was working effectively. It proved impossible to gauge the extent to which responses were related to incomplete implementation, inadequate implementation or flaws in the underlying concepts. Some of the reasons for perceived ineffectiveness related to the design of the model, but most to its implementation. Interestingly, throughout, probation officer grade case managers were less satisfied or convinced by the model than their PSO, administrative or management colleagues. Indeed, they were less satisfied than the offenders themselves.

The design was evidently less than clear about *how* the division of responsibility for “casework” should be decided. There was no mechanism for monitoring and regulating these decisions. Whilst the decision was supposed to be risk based, it was often found to be driven by personal preference, habitual behaviours or resource availability. There was little distinction between the *tasks* undertaken by PO and PSO grades. A transparent decision-making process, capable of interrogation, would have helped. Limited attention had been paid to the development of clerical and administrative staff as Case Administrators, and to re-striking the role boundaries between them in this role and the roles of Case Managers and Case Workers. The functions of Practice Developers were not well defined; they were perceived as more associated with auditing practice than developing it. These were all valuable development messages for the designers of the changes.

In terms of implementation of the model, there was evidence of good communication; most staff understood the “top level” model. There was significant criticism of supporting systems. Forms were said to be poorly designed, repetitive and emphasising of bureaucratic functions at the expense of clinical ones. There was little consistency about case file management. The merits of the model itself were often obscured by more general under-resourcing or under-capacity.

Overall, though, this is a commendable attempt to evaluate structural changes designed to support a revised model of case management. It makes useful reading for areas embarking upon such initiatives. The re-organisation of service delivery structures, intended to improve performance, is prevalent in probation. But, short-term output evaluation of this kind is essential if areas are to know whether changes made are achieving their objectives, and how implementation might need to be “tweaked” for effectiveness. Otherwise re-structuring can often to be an expensive “leap of faith”.

# “Examining Case Management Models for Community Sentences”

## Sarah Partridge – RDS - 2004

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This study – only available as an on-line report from [www.homeoffice.gov.uk/rds/whatsnew1](http://www.homeoffice.gov.uk/rds/whatsnew1) - sought to examine the relationship between different structures for delivering community sentences, and outcomes. Prior to becoming the NPS, all probation areas were surveyed and their local configurations categorised into 3:

- specialist models
- generic models
- hybrid models

Specialist models broke the end-to-end case management process into functions (assessment, induction, programme attendance, maintenance etc); in generic models the same case manager worked with an offender through the whole sentence implementation process. Hybrid models contained elements of the two.

In terms of stakeholder perspectives, specialist models met the needs of managers. These had developed during the 1990's. They made resource management easier and coped well with shifting priorities. However, offenders found the repeated changes in responsible officer confusing and unrewarding. Specialist models received a mixed response from staff. For some, the clear focus of expertise helped to narrow the job down to something manageable. For others, such arrangements were frustrating, since a responsible officer rarely saw the eventual outcomes of their work.

In the fieldwork element of the research, local arrangements in which mixed grade groups of staff worked together to manage a small caseload emerged well. These arrangements were better at engaging administrative and clerical staff in the “front end” of the business, and they provided continuity in relationships for the offender, in the event that their “own officer” was not available.

An attempt in the research to identify a relationship between these structures and organisation-level outcomes was unsuccessful. Too many factors were involved. Different measures of organisational performance (HMIP scores, EEM self-assessment scores, performance against targets) did not provide consistent results and there was no clear correlation between structure and outcomes.

This research further supports a case (offender) management approach which delivers continuity of relationship for offenders. Arrangements which fragment the end-to-end process should be avoided. Small-team, mixed-grade teamwork emerges well as an effective and efficient local configuration for delivering offender management, and for realising the full potential of all staff.

This report is an important contribution to the knowledge base about how to configure local services to deliver offender management. It is essential reading for managers in areas considering re-organisation as a performance improvement measure.



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## **“Case Management in Manitoba Probation”**

### **Bonta, Rugge, Sedo and Coles (2004)**

### **Public Safety and Emergency Preparedness - Canada**

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This study undertook a micro-examination of the behaviour of probation case managers, working with mixed caseloads of offenders in the community. Audio and video tapes of interactions with offenders were analysed line-by-line to provide a profile of what subjects case managers focussed upon, and at what level.

The research found weak relationships between assessed offending-related needs, the content of supervision plans and the focus of case managers' attentions.

In spite of a clear “resources follow risk” principle, other than a small group of very high risk cases, all cases quickly drifted into a middle ground of attention.

There was a high level of quality relationship building, and consistent praise/reward for the expression of pro-social attitudes and behaviours. However, case managers were much more diffident about challenging anti-social attitudes and behaviours.

There was little evidence of case managers actively supporting referrals to other agencies. Offenders were typically given contact information, but rarely did case managers – for instance – accompany offenders to meetings with other agencies, or support their attendance by other means. The level of use made of community resources was thus limited.

It is, of course, a matter of conjecture to what extent the findings of this study might be replicated in England and Wales. Caseloads seemed high compared to current England and Wales caseloads (varying from 72 to 99 in different districts). Contact levels were also low (average 4.3 contacts in 3 month period). It was not apparent from the study that case management was well supported by a framework of in-house programmes as is the case here.

Notwithstanding these reservations, the report is a timely reminder of the value of creating a default connection between assessment factors and planning (as is done in e-OASys). It also points to the value of having some form of structure around the “resources follow risk” principle.

The research should be of interest to the strategic managers/designers of case management, training managers and those line managing case managers..

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