

# **Keys to Effective Case Management:**

***Incorporating services, supports  
and supervision into effective  
individualized reentry plans***

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# Introduction

- During this session I will talk about the importance of integrating appropriate services, supports and supervision into a single case plan.
- The value of developing a collaborative approach to case planning and information sharing will be considered.
- I will also discuss the information, skills, tools, and resources that staff need to have in order to engage in effective case management work.
  - "If we all did what we were capable of doing we would literally astound ourselves."  
Thomas Edison

# I. Case management and the “big picture”

- Why does case management matter?
  - We are striving to positively impact public/institutional safety.
  - Evidence based literature helps us to understand that we can have a greater impact on this area by focusing on particular crime-producing factors in individual cases and developing appropriate responses that reduce risk.
  - In order to identify the actions that we will take with a person over time, we need a plan.

# National Overview

- There 7.3 million adults currently under criminal justice supervision in the U.S.
- 7 million adults represents 1 in every 31 adults in U.S.
  - It was 1 in every 90 adults in 1980
- 2.3 million adults are in prison or jail (a 700% increase in the last 35 years). 1.5 million in prison; 800,000 in jail.
- Over 5 million adults are under community supervision (1 in every 45 adults in U.S. currently under supervision).
  - 4.27 million adults are on probation (3 million in 1995).
  - 828,000 adults are on parole
    - Sources: BJS, 2002, 2006, 2008

# Additional information

- Revocations are the fastest growing category of prison admissions
  - Parole violators account for 35% of new prison admissions today, as compared to 17% in 1980.
  - About 41% of offenders on probation fail to successfully complete supervision.
  - New court commitments declined from 81% to 60% of prison admissions (1980-2000)
- There are approximately 100,000 juveniles (ages 10-18) in secure private or public facilities.
- Between 50% and 70% of young offenders released from custody are rearrested within two years.
  - *(Sources: BSJ, 2002, 2006; Travis & Lawrence, 2002; Snyder and Sickmund, 2006; Public Safety Performance Project, 2007; Austin, 2005).*

# Releases occur

- A significant number of adult offenders – over 700,000 - will be released from prisons to their communities this year.
- 95% of offenders currently in custody will be released to the community at some point in the future.
- Based on current trends, about two-thirds of offenders from state prisons will be rearrested, and about one-half convicted of committing a new crime, within three years of their release.
- About one-third of offenders are rearrested within 6 months of release.

# Why is there so much failure?

- Substance abuse use (70% of incarcerated adults have substance abuse problems but only 10% receive formal treatment while incarcerated)
- Lack of job skills/ employment issues/limited education (40% of inmates leaving prison do not have a high school degree or a GED; only 1/3 of inmates receive any vocational training)
- Poor reasoning skills/criminal thinking patterns/poor attitude and decision making processes
- (Sources: BJS, 2003; Hammet, 2000, BJS, 1999)

# Other significant factors

- The presence of anti-social values
- Absence of pro-social support groups; the nature of the offender's social networks and associations
- Mental health/ general health problems (1/3 of adults offenders and up to 70% of juvenile offenders have mental health problems)
- Absence of a stable residence

# Case management is important

- Case management is an “important” ingredient in effective risk reduction work.
- Steven Covey talks about work activities being driven by two factors: what is urgent and what is important.
  - “If we don’t have a clear idea of what is important, we are easily diverted into responding to the urgent.”
    - Covey, The 7 Habits of Highly Effective People

# Case management

What is case management? It is:

- the strategic use of resources (to include staff time, correctional programs and other types of resources)

- at the case level

- to increase the likelihood of success following institutional release and discharge from supervision, thus

- decreasing the likelihood of offender recidivism.

- PRI coaching packet – Case Management

# Case management fundamentals

## Effective case management:

- Is based on objectively determined risks and criminogenic needs;
- Is comprehensive, on-going and dynamic;
- Includes professional partners in a joint effort;
- Targets interventions to offenders' individual needs;
- Results in a case plan that serves as a road map for success;
- Engages offenders in the process of change;
- Is supported by automation

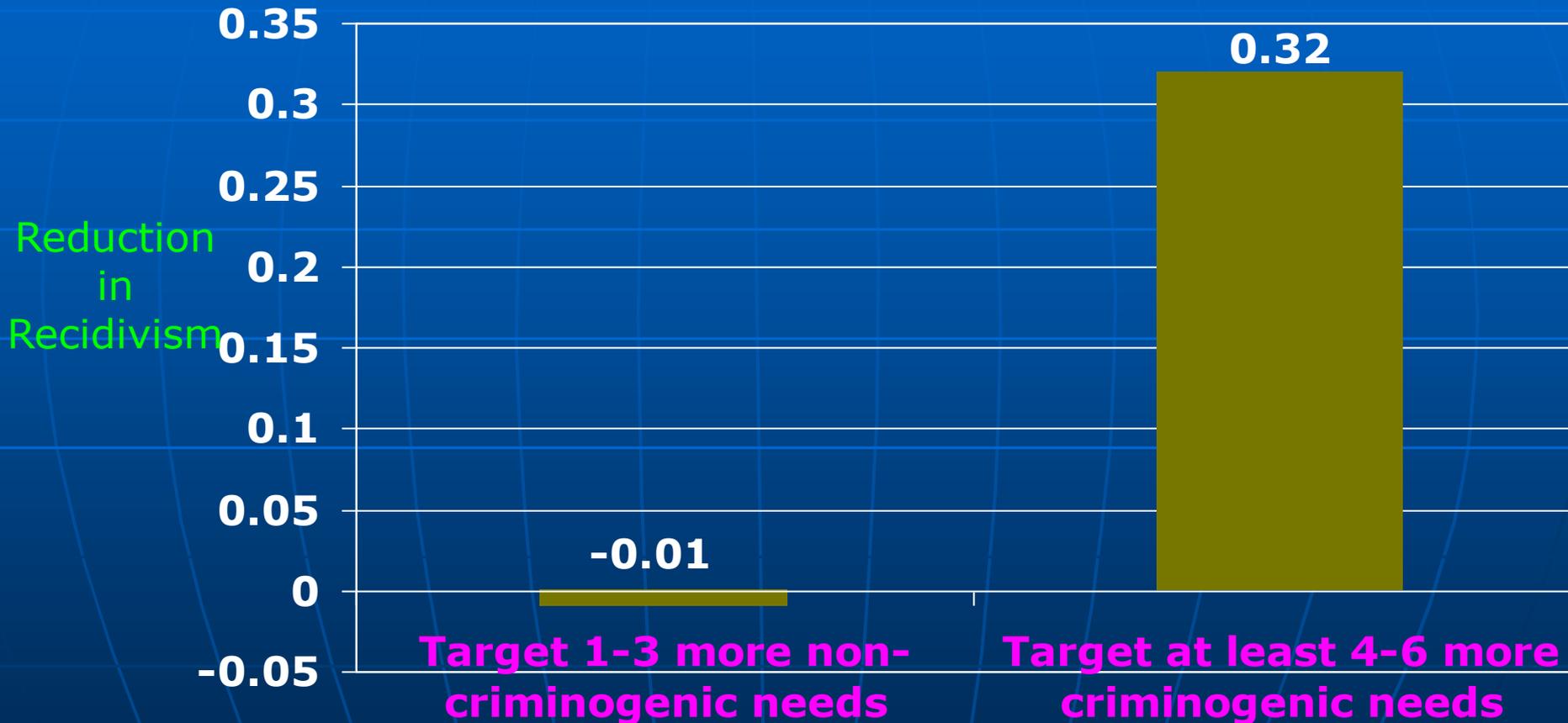
# What is your vision?

- How does case management fit in with your vision regarding offender supervision or services?
- Example:
  - “Partners will create, maintain, and operate a seamless system of supervision and support that includes assessment, planning, management, and collaboration that begins at intake to prison and continues through successful transition back into the community.”
    - Michigan MPRI

# “What works” research

- From the work of Gendreau and others, we know that effective interventions can impact the likelihood of recidivism.
- Thus, the work of case management is to make certain that we are identifying and effectively carrying out the most important targets of intervention (from a risk reduction perspective).
  - Gendreau and Bonta, 2007

# Targeting Criminogenic Needs: Results from Meta-Analyses



(Gendreau, French, & Taylor, 2002)

## II. Effective case management

### Core principles

- Case management starts early (e.g., at admission to prison, or before) and continues through discharge in the community, and beyond, in a coherent and integrated process.
- The foundation of effective supervision and case management planning comes from empirically-based and validated assessments of risk and criminogenic need.
- Supervision and case management efforts employ evidence based approaches: they target specific types of offender risks and needs in order to have a maximum impact on recidivism reduction and community safety.

# Core principles, continued

- The offender is engaged in the change process through the use of supervision and case management interactions.
- Multi-disciplinary supervision and case management teams are formed to work with the offender through assessment, case planning and implementation.
- Supervision and case management is a collaborative process that involves correctional staff (institutional staff WITH field/community staff) as well as community service providers, and informal networks of support.

# Focus of effective client management/risk reduction efforts

- **Custody/monitor**
- **Silos**
- **Agency isolation**
- **Unproven methods**
- **Measuring inputs**
- **Offender failure**
- **Behavior change**
- **Coherent process**
- **Collaboration**
- **Using what works**
- **Measuring outcomes**
- **Offender success and public safety**

# III. Case Management: Expectations for staff

- Let's now consider what effective case management requires staff to do:
  - A. Engage and assess the offender's risks, needs, strengths, environment – using objective assessment tools and looking for patterns of behavior.
  - B. Enhance the offender's motivation – use motivational interviewing techniques; promote change by eliciting and reinforcing behaviors sought

# Expectations for staff

- C. Use assessment information to develop or update a single, dynamic case plan; work with the offender to develop attainable short and long term goals.
- D. Work with the offender, other staff, other agencies and various partners to reinforce the direction and content of the case plan; focus on cognitive-behavioral areas, wrap around services and interventions; provide programmatic interventions to address highest areas of risk and criminogenic need.

# Expectations for staff

- E. Review progress periodically, update case management targets/strategies
  - Reinforce successes
  - Introduce problem-solving strategies
  - Appropriately use incentives and sanctions
  - Develop maintenance plan

# What will front line staff need?

To carry out this work, front line staff need:

- A. Numerous pieces of information about the offender (assessments, program information, etc.)
- B. The skills/ability to interact effectively with the offender to determine goals/objectives
- C. Time to engage the offender in discussions/supervision activities, etc.
- D. The ability to work effectively with other staff as well as individuals outside of the organization
- E. The resources/skills to respond to new circumstances/violations, or encourage compliance through incentives/rewards.

# A. Case management - information

- First, what information is available to be used to develop or update the critical elements of the case plan?
- What types of information do front line staff need to understand the nature or circumstances of a particular case?
- How can staff access other types information? What information technology tools/methods exist to help them?

# Gaining insights

- In addition to using assessment information to understand criminogenic factors, case planning should attempt to identify:
  - Offender strengths
  - Triggers
  - Stability factors

## B. Case management – interacting effectively with offenders

- How should staff interact with an offender in order to gain insights, necessary information, or commitment to a case plan?
- What types of questions are asked – open ended, or yes/no? Are motivational interviewing techniques used (person-centered, directive method for enhancing intrinsic motivation to change).

# The nature of your interactions

- When your objective is to change a person's behavior, what style works best?
  - Confrontation
  - Demonstrating our power over someone
  - Lecturing
  - Demanding
  - Cheer-leading
  - Pleading
  - Begging
  - Bribing
  - Shaming
  
  - Or helping the person to appreciate the value in changing themselves?

# Helping change occur

- Interviewing style is a significant factor in dropout, retention, adherence and outcome.
- Individuals who believe they can and will change (self-efficacy) do change.
- Officers/practitioners who believe their clients can and will change, influence them positively to do so.

# Using our valuable time wisely

- Core correctional practices that can influence behavior change include:
  - Appropriate use of authority
  - Advocacy, brokerage for resources
  - Structured skill-building, problem-solving
  - Effective reinforcement, punishment
  - Consistent, pro-social modeling
- From Andrews and Bonta, 2007; Dowden and Andrews, 2004

# Interacting with clients

- Does the nature of the interaction that the client has with staff make a difference?
- In studying factors associated with behavior change, it appears that changes are driven by:
  - Extra therapeutic factors (e.g., self) = 40%
  - Rapport with staff = 30%
  - Treatment technique = 15%
  - Self-improvement = 15%

■ Source: Lambert and Bailey, 2002

# 3 Steps to the contact interview

1. Set up: Give the purpose of the contact, set the tone
2. Gather information: Ask open questions; Affirm-reflect-summarize
3. Close out: Consider next steps; encourage change

# The value of asking good questions

Which of these questions might generate more information?

- Have you stopped taking drugs?
- Tell me about a time when you weren't using - what was different then?
- Why haven't you gotten a job yet?
- Did you ever have a job that you enjoyed?
- Are you still living at the same address?
- Three years from now, where do you think you'll be living?

# Evocative or confrontational

- When we confront, argue with, or try to convince offenders, we create defensiveness and a commitment to the status quo.
- When we attempt to elicit “change talk” we use:
  - open questions
  - affirmations
  - reflections
  - summarizations

If we can develop discrepancy, express empathy, amplify ambivalence, roll with resistance and support self-efficacy we can help offenders develop the motivation to change behavior.

# Case planning-looking for strengths

- Based on the information gathered through assessments, the interview, and other sources of information, specific crime-related factors or survival needs can be targeted for some intervention, and protective factors or strengths can also be identified.
- Separating higher risk and need offenders from lower risk and need offenders will assist with “targeting” and the prioritization of programs placements or interventions.

# Case planning – involving the offender

- Involving the offender – to encourage, motivate, and develop a meaningful case plan – is critical.
- The offender participates in the initial assessment—self assessment
- Offender identifies risky behaviors, strengths, his/her objectives, and action plans
- Offender enters into an “agreement” about behavior
- Offender is responsible for compliance
- Offender is involved in risk reduction activities

# Developing the initial case plan

- How we ask questions can be as important as what we ask (value of motivational interviewing/ interpersonal skills).
- Look for patterns and connections, critical crime-related factors, and strengths in order to develop a good plan.
- Focus on both short term and long term change.
- Several individuals may have key pieces of information to contribute to a case plan.
- Have a single, dynamic plan that follows the offender over time and across agencies.

# Setting targets or goals

- Are case plan targets or goals determined exclusively by staff? What is the offender's role in setting goals? Are goals established that are reasonable or attainable?
- To be motivated, people must believe that the change will have value, and have confidence that the change can happen (importance of short term goals).

# What types of goals do we set?

- *Pay fines and restitution*
- *Get a job*
- *Get a GED*
- *Stop drinking/using illegal drugs*
- *Complete cognitive restructuring/life skill courses*
- *Complete community service work*
- *Establish a new residence*
- *Do not associate with current/former offenders*
- *Develop a better attitude*
- *Do not commit disciplinary infractions/violations*

# Get a job

- Would we approach this goal differently if we knew that the offender had never had a full time job – that he/she had never been to a job interview?
- What if the offender was not able to read or write – or had lost all his jobs because he got into arguments with his boss? How would we change our goals?

# Using incentives/rewards

- In establishing targets or goals, how are incentives used by staff to encourage or promote positive change?
- Do we ask offenders about incentives or rewards that might be meaningful to them?

# Incentives and rewards

- Examples of incentives that can be incorporated into a case plan:
  - Reduced reporting/drug testing
  - Letter of commendation/praise
  - Eliminate requirements, curfews, etc.
  - Terminate supervision

# Where do staff skills come from?

- What training is provided to staff to help them become better interviewers, better at interacting with difficult people, better listeners?
- To what extent do we rely on people bringing these skills with them when they are hired? Who are we hiring?
- How are our training resources prioritized and what are they dedicated to teaching? What does this reflect about our organization's focus?

# Targeting and programming

- The greatest public safety impact will occur if we target high and moderate risk individuals for programming.
- Programming that focuses on cognitive/behavioral change appears to have the greatest value.
- Offenders/clients need to learn and practice new skills – programs should focus on skill building.

# Principles of cognitive behavior

- 1. Thinking affects behavior
- 2. Antisocial, distorted, unproductive irrational thinking causes antisocial behavior
- 3. Thinking can be influenced
- 4. Individuals can change how they feel and behave by changing what they think.
  - Source: Ed Latessa, U. of Cincinnati, OK Reentry Conference, 2008

# Behavioral treatment can assist with recidivism reduction

- Focuses on active learning
- Addresses current thinking and behavior
- Targets major criminogenic needs (attitudes, values, beliefs)
- Focuses on learning (most criminal behavior is learned)
  - Andrews, 1994

## C. Case management – time considerations

- Some staff are asked to complete assessments in a small amount of time. A significant number of assessments may have to be completed each day.
- If staff have all the information they need, have been well trained on techniques that can yield more information, and have the ability to write clear and attainable goals – do they have the time they need to do this well?

# Time considerations

- In doing everyday work, how do front line staff and first line supervisors spend their time? How much of their day is devoted to interacting with offenders? Developing interpersonal skills? Working together to resolve difficult offender management issues?
- How much staff time is devoted to managing/working with lower risk clients?
- What tasks can be eliminated or done more effectively to give front line staff/supervisors more time to spend on critical offender management issues?

## D. Case management – working as part of a team

- Various individuals may have important information or perspectives about the offender that needs to be shared. How can this input occur?
- Does the organization encourage the sharing of information? Do information technology systems promote or inhibit the gathering/ sharing of other information?
- If staff wanted/needed to get information from others, how would they do that?

# Working as part of a case team

- Who should be on the case management team – other staff, individuals from other divisions/agencies?
- What operating norms should these teams have? When should they meet? What should they do?
- What types of information can be shared?

# Working as part of a team

- Assuming that some specific case management strategies have been developed that require particular interventions, how are these interventions arranged/coordinated?
- Who participates in decisions regarding the nature or timing of interventions? Who evaluates or provides feedback to front line staff about the progress or status of the offender's participation in a program?

# Involving families and supports

- In order to understand circumstances, encourage positive progress, identify troubling issues, etc., individuals who are concerned about the welfare of the offender should be involved.
- Involving family members and others in discussions about conditions, expectations, or case planning objectives can help these individuals provide positive or constructive assistance.

# Monitoring progress

- Gauge the offender's current stage of change;
- Interact with family/community resource(s) to solicit/maintain assistance and support from these capable guardians;
- Listen and elicit change talk;
- Provide positive feedback and encouragement;
- Identify and remove new barriers that hinder; progress, modifying action steps as needed; and
- Apply incentives or sanctions as appropriate.

# Example of a case management team - NY

- Local communities in NY have established case management teams that are comprised of parole officers, treatment providers, law enforcement officials, individuals knowledge about mental health, housing and other critical areas.
- The team meets regularly to review cases where offenders are struggling to access to services, find housing, or meet various conditions of supervision.
- Together, the team identifies possible solutions to specific problems.

## E. The resources/skills needed to respond to failures

- When staff adopt a proactive, team approach to offender management they may find a variety of violations/infractions.
- Working as a team to identify problems may allow these infractions to be detected at an earlier stage – when a variety of possible responses may be available.
- Swiftly, effectively, and proportionately responding to failure is an important component of promoting offender success.

# Conditions

- Imposing numerous conditions that are not prioritized, not focused on addressing specific case management objectives, nor related to risk reduction activities, may create tremendous obstacles for the successful completion of supervision.
- Community supervision case management plans need to continue the risk reduction work that was begun in prison. There should be a single plan.
- The more conditions imposed, the more opportunity for failure – which may or may not be linked to public safety considerations.

# Responding to failure

- Front line staff and front line supervisors need the flexibility to respond to violations/infractions that occur. The ability to swiftly act, and to impose appropriate, graduated sanctions, can reinforce the overall objectives of the case management plan.
- First line supervisors can assist staff in sorting out the nature of the violation, determining appropriate sanctions, and responding in a timely manner.

## IV. An example of case management practices

- If we employed case management principles and practices, how might it change the way that we manage offenders in the community?

## Traditional

- Parolees report to agents. Most contacts are made in the office.
- Parolees most often report alone.
- Unemployed parolees are encouraged to look for work and are instructed to bring in lists of jobs for which they have applied.
- Average caseloads range in size from 75 to 90 parolees (excluding specialized caseloads).

## CCM

- Agent often goes to the parolee. There is limited office reporting – contacts are made in the community (home, employment, treatment, etc.)
- When seen in the office, agent wants significant others, mentors, providers to attend.
  - Agent collaborates with employment agency staff and knows the status of the job search.
  - Approximately 55 cases per agent for high-risk, high-need cases and 200 possible for low-risk/need.

- Minimum supervision level cases are required to report monthly.

- Treatment referrals are made, but there are delays. Limited information is available from treatment programs.

- Case staffing is limited.

- Agent makes most field contacts alone.

- Testing for drug and/or alcohol use is routinely conducted.

- Low-risk cases are seen or contacted infrequently.

- Partnerships with community providers lead to faster and more appropriate referrals. Many referrals are made while the parolee is in prison.

- Case staffing is conducted with the agent and supervisor and may include others.

- Agents may team up with others

- Testing is not routine and is tied to risk and criminogenic needs.

- Limited sanctions are available for technical rule violations.

- Few offender incentives are available (limited to reduced supervision level or early discharge if eligible).

- Limited technology is available.

- Agents are audited based on meeting contact standards (quantitative).

- Agents react to problems.

- Graduated responses and interventions are more available.

- Incentives for positive behavior are developed, supported by parole staff, and are used appropriately.

- Use of technology is improved.

- Agents are audited and evaluated based on successful implementation of the TAP .

- Agents' increased involvement in high-risk cases provides more opportunities to be proactive.

- Agent work hours are generally 8:00 a.m. to 5:00 p.m., Monday – Friday.

- Supervisors are generally office-bound from 8:00 a.m. to 5:00 p.m.

- Supervisors spend a large amount of their time reviewing and approving reports.

- Supervisors react to problems with cases.

- Supervisory audits of cases do not address the quality of the case supervision.

- Agents utilize alternative work schedules to include evenings and weekends. Agents are more accessible to parolees.

- Supervisors may work alternative work schedules to be accessible to staff and parolees.

- The supervisor's role becomes team leader and mentor.

- Supervisors regularly staff cases and are involved in the development of the TAP so can be proactive.

- Audits are about quality of case management.

# Required “tools” for front line staff and first line supervisors

- Have the ability to properly conduct assessments.
- Can interact with offenders in productive ways.
- Have the ability to write, format and appropriately update case plans.
- Have access to necessary interventions.
- Skill sets—trained in interpersonal communication, assessment and case planning, motivational interviewing.

# Required “tools” for front line staff and first line supervisors

- Have the ability to work effectively with other staff in managing offenders.
- Have case management tools that promote collaboration at the case level across traditional boundaries.
- Can respond constructively to violations/infractions that occur.

# V. Developing organizational supports for case management on three levels

- A. Setting the context
- B. Aligning work to fit the vision
- C. Encouraging and enabling staff

# A. Setting the context

- Front line staff and first line supervisors must understand the direction in which the organization is heading and how it will impact the work that they do.
- What has already been done to help prepare staff for the changes that will come regarding a collaborative case management approach?
- Investing necessary time and energy with staff so that they can understand and appreciate the agency's vision or direction is the most important marketing that you will do.
  - "The aim of a system must be clear to everyone in the system."  
W. Edwards Deming

# Opportunities to set the context

1. Publications – are you focusing on stories that help demonstrate the end result that you seek? Do these stories highlight the value of line staff engaging in certain types of work?
2. Meetings – who is involved in the discussions about case management activities or successful supervision outcomes? Do front line staff routinely participate?
3. Communication – who is explaining your vision and direction to staff? What are they saying?

“Leadership is not about hitting people over the head – that’s assault, not leadership.”  
Dwight D. Eisenhower

## B. Aligning work to fit the vision

- How do your expectations for line staff or others fit with your minimum qualifications or position descriptions for these staff?
- Are you now expecting staff to have abilities that you never indicated you were looking for in the past?
- How do your new expectations fit with the policies or procedures that outline what staff are expected to do? When will policies be changed?

# Aligning work to fit the vision

- Do your new expectations for front line staff first and first line supervisors require you to re-think your recruiting, hiring, or promotional decisions?
- If you have expectations for staff that will require them to do more work in an area, or spend more time on certain activities, then what work will be reduced or taken away? Time spent at work should reflect the organization's priorities.

# Aligning work to fit the vision

- How can first line supervisors become involved with case management activities (case planning, violation staffing, etc.) in ways that will encourage the most appropriate outcomes?
- How can case audits or case reviews be used to help encourage appropriate action by staff and supervisors? What are case audits looking at or looking for? What are the outcomes of case audits?
- How can the organization encourage more collaboration between staff and various partners on case management activities?

# Aligning work to fit the vision

- Assessment protocols have been developed – are they “embraced” by staff who are expected to use them?
- Interventions that are necessary to address the most significant criminogenic risks and needs of offenders must be available – are they available where they are needed?
- Do staff appreciate the value of various case management “tracks” – are their contacts and interventions consistent with the expectations of the tracks?

# C. Encouraging and Enabling Staff

- Supervisors set the standard for the type and kind of work that will be done in an office. If front line staff will be expected to work in new ways, how can supervisors help staff to be successful at meeting their new responsibilities?
  - Pay attention to staff/offender interactions
  - Review case files to determine the purpose and value, as well as the number, of offender contacts
  - Hold meetings with staff to explain your expectations regarding case management and supervision
  - Find staff doing things right and acknowledge them publicly
  - Identify staff who need to improve their skills or effort, take the lead in helping them understand what needs to change, and deal with them privately.

# Encouraging/enabling staff

- What incentives are there for staff to perform work in the way that you hope they will? How visible are these incentives?
- What steps will you take to hold staff accountable? What do you plan to measure?
- How might empowering, rather than scrutinizing, staff help you to realize your goals?
- What can you do to “move the middle”? As the middle moves, so moves the organization.

# Required “tools” for the organization

- Interagency agreements/ partnerships that provide access to case team partners and resources must be in place
- Job descriptions that accurately reflect case management expectations must exist
- Training on motivational interviewing, listening skills, effective communication skills, etc., must be provided to front line staff and to supervisors
- Performance appraisal system/quality assurance measures should focus on the quality of work as well as the quantity of work.

# Required “tools” for the organization

- Policies and procedures that support case management activities should be promulgated and discussed by supervisors with their staff.
- Articles and publications that highlight the direction of the organization should be circulated to supervisors and discussed with staff.
- Employees/supervisors who understand case management principles should train/mentor other staff until case management is “second nature.”
- Employees that promote offender success through the use of effective case management methods should be recognized/rewarded.

# Conclusions

- Collaborative case management supports the entire reentry effort.
- Necessary organizational supports must be in place so that a collaborative case management system can be realized.
- The actions of line staff determine what case management work gets done and how it is done. Belief in and support of effective case management strategies by supervisors is essential to the success of this effort.

# Concluding thoughts

- Commitment to case management may require adjustments to many aspects of work. It may require some large changes. But as David Lloyd George once remarked
  - “Don’t be afraid to take a big step when one is indicated. You can’t cross a chasm in two small steps.”
- And you don’t have to try and do all of it at one time. Each day presents new opportunities. As Abraham Lincoln said -
  - “The best thing about the future is that it comes one day at a time.”