



# CFO3 Interim Evaluation

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## 1. Context

Her Majesty's Prison and Probation Service Co-Financing Organisation (HMPPS CFO) co-ordinates large-scale programmes to support offenders into employment. This work is financially backed by the European Social Fund (ESF), The European Union's main instrument to invest in human capital and promote equal job opportunities. The CFO is currently in its third round of funding, titled CFO3.

CFO3 provision is designed to engage and motivate 'hard-to-reach' offenders who require combined support in a number of different areas, and consequently are unable to access mainstream employability provision such as that provided by Department for Work and Pensions (DWP) or the Education and Skills Funding Agency (ESFA). CFO3 Delivery is designed to complement established activity within custodial sites and probation, with a focus on continuity across the participant's transfer from custody into the community. With greater scope to tackle identified barriers, such as accommodation and financial issues, at an earlier stage, CFO3 optimises engagement and efforts to progress offenders into education, training and employment opportunities. The delivery mechanism works through Prime Providers, who use a structured case management model to tailor provision to the individual, identifying need and establishing links with appropriate support networks. If suitable, participants can be referred to specialist local sub-providers. CFO3 utilises four Prime Providers, some covering more than one contract area. These are Achieve North West Connect, APM, Ixion Holdings Ltd and the Shaw Trust.

CFO3 has been delivering provision to participants in custody and in the community since 2015. The purpose of this report is to highlight how the CFO3 programme has developed since the commencement of delivery and to identify how Providers work collaboratively with other criminal justice system (CJS) organisations.

The main findings of this report will focus on the following key research aims:

- ❖ To explore the changes to delivery since the beginning of CFO3 and how our Providers have adapted to these changes.
- ❖ To identify how communication has developed between Case Managers and participants during the CFO3 programme.
- ❖ To explore how CFO providers work collaboratively with other CJS organisations and highlight any difficulties that experienced by our providers.



## 2. Approach

The purpose of the first strand of this report is to evaluate changes made throughout the course of CFO3, and how our Providers have managed these changes and adapted to them. The second is to outline how CFO3 Providers communicate with participants and whether or not this has changed throughout the programme. The final strand of this report aims to provide a better understanding of how Case Managers communicate with other CJS organisations, any barriers faced and how these have been overcome during the course of CFO3. In order to effectively answer the set research aims, two types of methodologies were adopted, qualitative results that were supported by quantitative statistics.

Qualitative data was sourced from online surveys, distributed to Providers by email. This enabled Case Managers to provide their own views, based on their experiences with participants and other CJS organisations. As each Provider adopts different ways of working, it was important to collect a range of responses to represent each contract area.

Quantitative data was sourced from HMPPS CFO's Case Assessment and Tracking System (CATS+) application, a tool used by Case Managers to record and track the details of participants and their progress, in order to provide up to date statistics on participant numbers, their resettlement needs and achievements claimed. Two data sets were extracted for the purpose of this analysis, one data set included CFO participants on 1<sup>st</sup> July 2015 and participants on 1<sup>st</sup> March 2019. This allowed comparison analysis to be conducted to identify trends, similarities and differences in population demographics over the course of CFO3.

## 3. Results

### 3.1 Adapting to Change during CFO3 programme

Due to the dynamic nature of the types of crimes committed and the CJS, change is a regular factor that CFO3 providers need to deal with, and adapt to, in order to support participants effectively. The below results highlight changes that Case Managers have experienced and adapted to during CFO3.

#### Participant demographics

Participant demographics change over time, depend on changes in the economy and changes in HMPPS and National Probation Service (NPS) structure. Case Managers reported numerous changes, both reductions and increases in specific participant groups. Achieve North West reported an increase in domestic abuse perpetrators in Merseyside. Whilst there has not been an increase in the prevalence of domestic abuse, there has been an increase in police recorded incidents which would



then lead to an increase in convicted offenders<sup>1</sup>. Case Managers now deliver more work around communication, problem solving and conflict management to support participants convicted of domestic violence offences.

Low referrals for those who are aged 50+, females and ethnic minorities were highlighted by Case Managers in the West Midlands. Further details were not provided, however, barriers to engagement in relation to ethnic minority participants is currently being explored by the provider. It was also highlighted that Case Managers in the West Midlands are working with an increasing number of participants who have received Imprisonment for Public Protection (IPP) sentences. Whilst IPP sentences were abolished in 2012, there are still a large number of prisoners who are serving IPP sentences in England<sup>2</sup>.

In the South West, Shaw Trust identified a decrease in female referrals in the Devon & Dorset areas. They did have a specific sub-provider in these areas to provide specialist support to female participants, however, due to low referral numbers, the sub provider was surplus to requirement and the Provider now delivers support to this subgroup. This is in contrast to the South East in which Shaw Trust has seen an increase in female participants in Thames Valley, Hampshire and the Isle of Wight.

In the Yorkshire & Humber area, APM Case Managers identified that they have seen a higher number of older participants on the CFO3 programme as the programme has progressed. This group presents unique problems, specifically if they have served long sentences. As they have usually been unemployed for long periods of time, Case Managers stated that they encouraged older participants to undertake more work placements and volunteering roles to enable them to become familiar with the modern world. It was identified that during the course of CFO3, there has been an increase in acquisitive crimes in the North East of England. Case Managers discussed changes in benefits such as the introduction of Universal Credit, which replaced Child Tax Credit, Housing Benefit, Income Support, Jobseekers Allowance, Employment and Support Allowance and Working Tax Credit in 2013 and Personal Independence Payments (PIP), which replaced the Disability Living Allowance as being the main contributor to the increase in acquisitive offences. Whilst a general increase in referrals has been highlighted, there have not been any significant changes to participant demographics in the East Midlands.

The most significant change which was highlighted during the analysis was a marked increase in the number of participants who have committed sexual offences. Responses from eight of the nine contract areas described increases in sex offenders in custody and the community, particularly receiving referrals from stakeholders as they feel that CFO3 provision would better support this cohort. It is likely that this is because CFO providers can dedicate time to providing specific support to those convicted of sexual offences such as accommodation and employment suitable to this type

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<sup>1</sup> Office of National Statistics (2017) Domestic Abuse in England and Wales: year ending March 2017. Statistical bulletin

<sup>2</sup> Prison Reform Trust (2018) Bromley Briefings Prison Factfile.



of ex-offender. Case Managers faced similar difficulties across all areas, particularly in supporting this group into employment. Due to the nature of these offences, emphasis is often placed on supporting participants into self-employment. This is the case in the East of England, where delivery focuses on helping participants to gain self-employment. Specific adjustments often need to be made to accommodate participants who have committed sexual offences due to risk. In the Yorkshire & Humber contract area, Case Managers set aside specific days for participants to attend appointments to ensure that there are no children in the office and that licence conditions are not breached. In the North East, Case Managers highlighted that the increase in referrals for sex offenders is likely due to a decrease in commissioned provision for this group. In the North West, Achieve Case Managers identified an increase in sex offender participants in HMP Wymott, they reported that they have now adapted their delivery by focussing on re-integration back into the community. Due to the difficulties faced in securing employment for those who have committed sex offences, Case Managers in the South West have spent more time on sourcing suitable job opportunities and employers who assess risk on an individual basis.

## Participant support needs

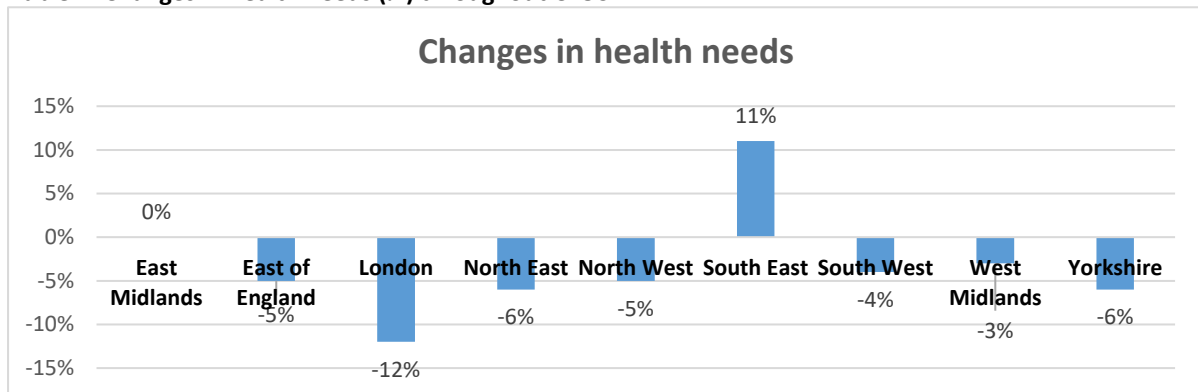
### Health issues

Mental health needs were highlighted as an increasing issue for CFO3 participants. Case Managers in the North West, Yorkshire & Humber, West Midlands and the North East identified that there has been an increase in their areas. This was attributed to an increase in participants using legal highs in custody, and in the community. Table 1 shows that there has been a decrease in overall health issues for all contract areas, except the East Midlands and the South East. On the CATS+ assessment, mental health and physical health are placed into the same category in terms of scoring whether someone has a health need or not, which makes it difficult to gain a clear picture of the changes in both mental and physical health without looking at each participants' assessment answers individually. To assist participants with these needs, Case Managers in the North West advise participants of the support available in HMP Liverpool and in the community. Due to the increase in mental health needs, there has been an increase in counselling waiting lists in Yorkshire & Humber. APM have developed an evening counselling service to attempt to reduce waiting times. APM Case Managers in the North East stated that they also support those with low level mental health issues, particularly those who aren't seen by prison mental health teams, due to their mental health needs being deemed as low and therefore not prioritised by the stretched prison mental health teams. They also discussed low level mental health issues being particularly problematic for those serving long sentences and first timers. In relation to health issues overall, with the exception of the East Midlands and South East, there has been a decrease in health needs throughout the course of CFO3. Further analysis on individual CATS+ assessment questions highlighted a slight decrease in mental health needs, during quarter 4 in 2015, 53% of participants stated that they had mental health issues which affected their current or future plan, compared to 47% in quarter 1, 2019. Physical health needs have also decreased, 29.3% of CFO3



participants were assessed at having physical health needs in quarter 4, 2015 compared to 20.7% in quarter 1, 2019. It is likely that some Case Managers work with groups of participants who have mental health needs which skews their perspective on the frequency of those with mental health issues.

Table 1: Changes in health needs (%) throughout CFO3

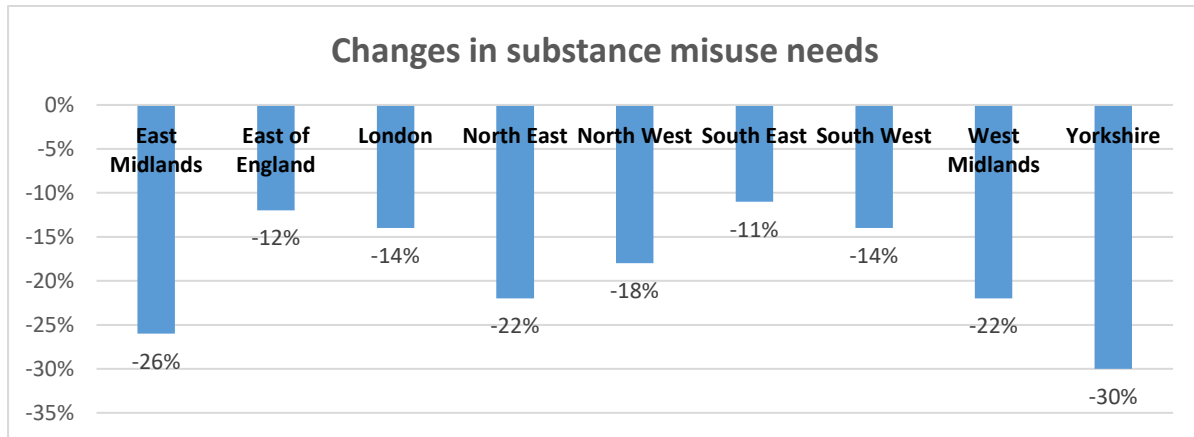


**Substance misuse issues**

In the South West, Shaw Trust highlighted a reduction in participants with substance misuse needs. They identified that this is due to participants receiving support from substance misuse teams in custody, during their sentence, and in the community, whilst under licence conditions. This was reflected in the analysis conducted using CATS+ data, there was a decrease in substance misuse needs across all contracts areas, ranging from a 10% decrease in the South East to 30% in Yorkshire. In the South West, there was a 13% decrease in participants who required some form of substance misuse support. Despite this, Case Managers in Yorkshire & Humber felt that there had been an increase since the commencement of CFO3 in substance misuse needs. It is likely that this is because substance misuse needs have decreased in one or more individual locations, those Case Managers who participated in this evaluation feel that there has been a decrease overall rather than what is more likely, it has reduced in a particular location. They utilise a specialist sub provider to support their participants with these needs.



Table 2: Changes in substance misuse needs (%) throughout CFO3

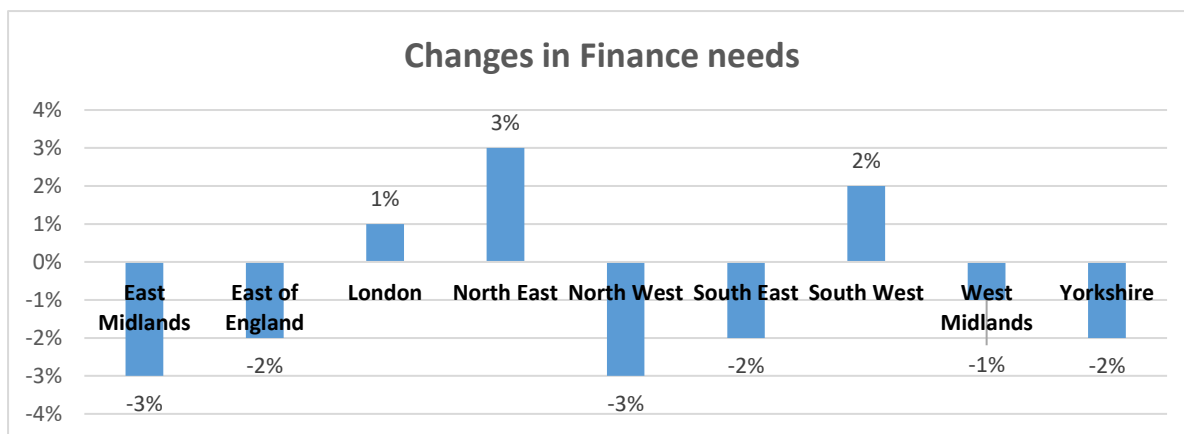


### Financial Issues

Financial issues were highlighted as an increasing problem for CFO3 participants. Achieve Case Managers in the North West identified that this increase is due to changes to the benefits system, particularly changes to PIP and Universal Credits. This was reiterated by Case Managers in Yorkshire & Humber and in the East Midlands, who stated that they have seen an increase in participants needing support with benefits, obtaining IDs for financial purposes and opening bank accounts.

Data analysis on participant support needs between 2015 and 2019 showed that there has been very little change in participant’s financial needs. As table 3 shows, London, North East and South East experienced a slight increase in financial issues (between 1 & 3%). The remaining contract areas had a decrease in participants with financial needs. It is likely that at the time of assessment, participants, particularly those in custody, do not report currently having issues with their finances until initial case work is completed and the participant is further along their journey with the CFO3 provider.

Table 3: Changes in financial needs (%) throughout CFO3

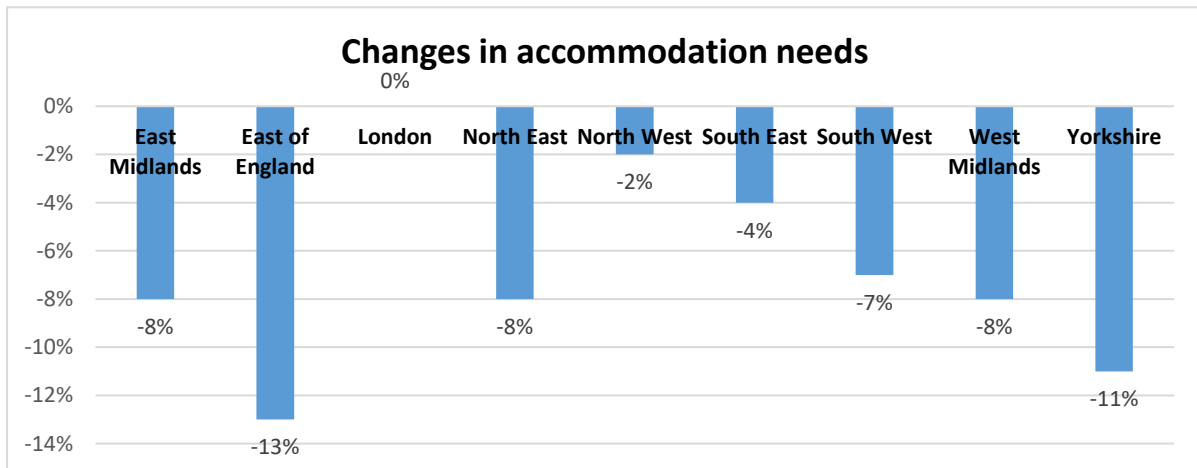




### Accommodation needs

Seven out of nine contract areas stated that there has been an increase in accommodation issues. Accommodation issues cause a range of wider issues for participants. The most obvious is the barrier it places on gaining employment. Case Managers discussed that a lack of housing means that participants are unable to find employment as they had no fixed address. Shaw Trust Case Managers in London stated that accommodation issues are often the most important as they are unlikely to gain employment or go into education without housing. Case Managers liaise with local housing organisations to provide support and guidance to participants. Ixion Case Managers in the West Midlands highlighted that the increase in accommodation issues was due to local sheltered housing being closed down. In the East of England, Shaw Trust Case Managers stated that accommodation is now an increasing problem for participants due to a lack of housing and an overspill from London. Case Managers stated that accommodation needs to be addressed early in the participants CFO3 journey. Although Case Managers have experienced an increase in accommodation needs, this is not reflected in the data collected from CATS+. This shows that there has been a decrease in every contract area, with the exception of London (see table 4). In 2015, 58% of participants reported that they had no suitable accommodation, compared to 41% in 2019. As previously discussed, it is likely that at the time of assessment, participants may not disclose having accommodation needs, particularly when in custody. It is likely that accommodation becomes an issues for some participants when they are reaching the end of their time in custody.

Table 4 Changes in accommodation needs (%) throughout CFO3



### Relationship needs

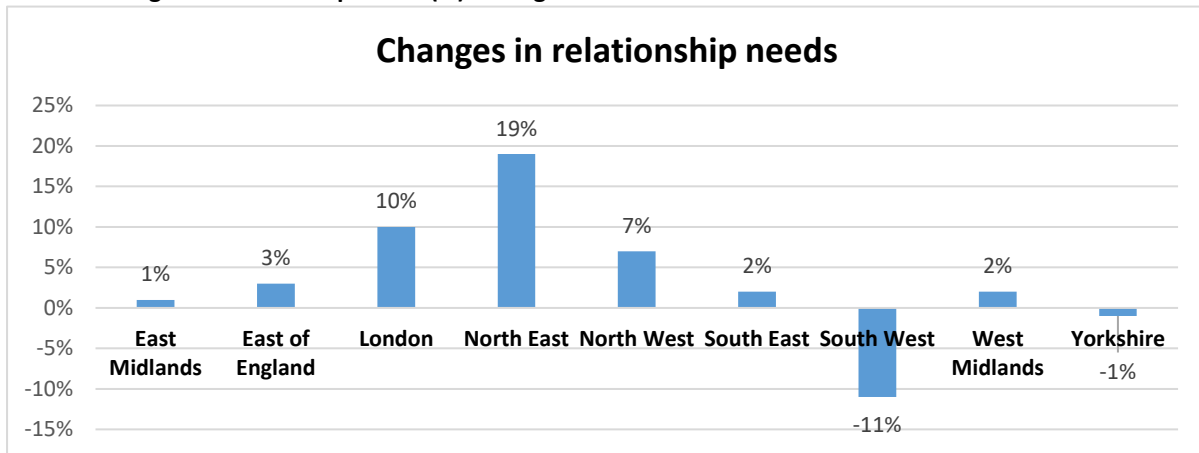
CATS+ data highlighted that relationship issues have increased in a number of contract areas, particularly in the North East, London and the North West. Achieve Case Managers in the North West highlighted that there has been an increase in CFO3 participants who have been convicted of domestic





violence offences, there is a realistic possibility that this explains the increase. Ixion Case Managers in the East Midlands reiterated that this increase in relationship issues relates to participants who have committed domestic violence offences. They utilise specialist sub providers to support these participants and receive more referrals from Offender Management Units (OMU) due to this. Relationship issues reduced by 10% in the South West and 1% in Yorkshire during the CFO3 programme. The reason for this decrease, particularly in the South West is unclear.

Table 5 Changes in relationship needs (%) throughout CFO3



There were minimal changes in educational needs or attitude & life skills needs between quarter 4 in 2015 and quarter 1 in 2019. Whilst Ixion Case Managers in the South East highlighted an increase in participants wishing to undertake forklift truck (FLT) training, this was an increase in a specific course rather than an increase in educational needs.

### Employment opportunities

Changes in employment opportunities varied throughout each of the contract areas. To ensure participants have the best opportunities to gain employment, CFO3 providers works towards building effective working relationships with local employers and agencies.

#### Achieve North West

Achieve North West Case Managers highlighted an increase in construction and recycling opportunities throughout CFO3. As a result, there has been increase in participants, both in custody and in the community, who wish to obtain a Construction Skills Certification Scheme (CSCS) card to enable them to work in the construction industry. Case Managers prepare participants for these roles by providing them with relevant labour market information and working with course providers to deliver the CSCS qualification training. Case Managers in the community make use of the many local courses ran by different providers, for which the course is free for those in receipt of benefits. Analysis





showed that the construction trade is popular in the North West with 18% of employed participants going into this area of work. Process operatives was also popular with participants in the North West (12%) and 7% of participant went into refuse & salvage occupations during CFO3.

It was also highlighted that recently, some employers have begun recruiting people on three month contracts and then recruiting new employees after this time. Case Managers argued that this practice is seen by some businesses as a way to avoid being liable for the mandatory work place pension scheme. In order to deal with this, Case Managers ensure that they are aware of which employers are recruiting in this manner and making participants aware of the implications of this, rather than avoiding these employers.

### APM

East Midlands Case Managers stated that due to economic austerity, there are further barriers for offenders to gain employment. In Derbyshire & Nottinghamshire, work placements have been arranged to try and tackle this issue. There has been an increase in railway related employment opportunities. APM originally delivered railway engineering in HMP Ranby which was replaced by a construction course. This has been very inconsistent with fewer job opportunities than initially advertised. To try and rectify this, APM are now working alongside the education department to deliver CSCS training courses and Forklift Truck (FLT) training. Despite this, CATS data highlighted that the most common occupation for participants in the East Midlands was storage occupations, with 19% of participants going into this type of employment, plant & machine operatives and construction employment was also popular (7% and 6% respectively).

In Yorkshire & Humber, Case Managers have developed relationships with local construction companies and recruitment agencies who are now more flexible in their approach to working with ex-offenders. Case Managers stated that they can have issues with a number of employers as they do not want to employ ex-offenders. In order to deal with this, APM utilise guaranteed interview schemes to enhance CFO participants employment chances, and provide training aimed at specific jobs. 22% of participants who gained employment in Yorkshire & Humber went into some form of construction work, 7% became assemblers & routine operatives and 6% gained employment as process operatives, this role involves the management of the production process of manufacturing plants or other industrial facilities. In line with this, Case Managers in the North East identified that more employers now require Disclosure and Barring Service (DBS) certificates for employment or they ask specifically about convictions during application process and in interviews. By teaching participants how to disclose their offence appropriately, for example explaining the circumstances and how they have changed their behaviour and/or outlook, this can improve the likelihood of participants gaining employment. Common vacancies in the North East include construction and logistical jobs and these types of employers are more interested in the skills and experience that a participant has rather than their previous offences. CATS+ data confirmed this with 23% of participants in the North



East gaining employment in construction and 12% as process operatives. CSCS cards and FLT courses were highlighted as being popular, both in custody and in the community. In relation to female participants, APM utilise Changing Lives as a sub providers to provide a specific employment service to female participants, funded by the Women's Returners fund.

## **Ixion**

In the South East, Case Managers highlighted that the job market has not changed a great deal throughout the duration of CFO3. Participants are still attracted to construction and warehouse roles. Railway maintenance jobs are increasingly popular as it is perceived to offer higher rates of pay. In reality, it can take participants longer to begin work in this industry due to medical and training requirements. Case Managers focus on keeping these participants motivated and engaged during this process using training and managing participants' expectations. This was reiterated by CATS+ data which showed that 28% of participants gained employment in construction, 9% in rail construction and maintenance operatives and 8% gained employment as fork lift truck drivers. Case managers discussed seeing a higher number of participants with poor to no previous work experience resulting in more time spent in preparation for the participant to exit CFO3.

Case Managers described a notable change for Ixion with the development of an employer engagement team. This was initially trialed by a small team of senior Case Managers who focused exclusively on employment and engaging with employers to secure employment for participant. This was found to be successful and therefore it was adapted into mainstream delivery. Their function is to support Case Managers and participants with employment needs. The team has been put in place to spend more time building relationships with local and national employers to gain employment opportunities for our participants. This has changed the way Case Managers work as they now need to refer into this team with added communication and support.

Finding employment for participants who have been convicted of sexual offences has proved difficult throughout CFO3. Ixion Case Managers identified that this has become increasingly difficult due to the high number of referrals from NPS for this participant group due to the difficulties in supporting this particular group. Case Managers stated that they are continually trying to identify and work with employers who will employ sex offenders. A long standing agency has recently changed their criteria, they originally supported CFO3 by placing sex offenders into employment which was assessed on an individual basis. However, more recently, they have changed their view point and will no longer accept referrals for anyone convicted of a sexual offence. This has resulted in the Employer relationships team having to undertake further work to identify opportunities for this client group. Other employers have agreed, after consultation, to review their viewpoint and some have agreed to accept non-contact sexual offenders.

Employment trends were similar in the West Midlands, where, construction was the most popular occupation with 17% of participants gaining employment in this field. Fork lift truck driving was also



a popular employment type (10%). Case Managers in the West Midlands also identified that there has been an increase in housing developments in Shrewsbury, which has led to an increase in construction training and employment opportunities. In Coventry, Nuneaton & Leamington Spa, Case Managers stated that they have seen a decrease in job opportunities during CFO3. They stated that employers are seeking people with a lot of experience or highly qualified individuals. It is important for Case Managers to support participants to build their skills, which was stressed by Case Managers. One particular Case Manager described adapting to this by discussing participants' work aspirations at the beginning of their journey and determine if and how far they are willing to travel. This allows Case Managers to manage their own expectations as well as those of the participant by discussing what types of opportunities are available and/or likely to achieve given the participants needs and goals.

Again the development of the employer engagement team has improved participants' journey as they have access to more intensive and specialist support. As part of delivery, the employer engagement team aim to deliver a minimum of three interventions per week. Interventions include identifying and applying for vacancies on participants behalf, preparing for an interview and telephone contact. Case Managers stated that the employer engagement team have focussed on researching labour market information through Local Enterprise Partnerships (LEPs), Job Centre Plus (JCP) and local partnerships to ensure that participants' goals match the needs of the local labour market and that the training completed by participants is relevant to the local job market.

### **Shaw Trust**

In the South West, it was highlighted that construction based jobs were a particular interest for CFO3 participants and Case Managers have seen an increase in referrals for CSCS training from NPS/CRCs. Shaw Trust stated that they regularly run this course which is likely to be the reason they receive a high number of referrals. It is likely that the CSCS course encourages participants to agree to be referred onto the CFO3 programme, however, core activities and supportive measures would be completed with participants before they engage in education or training courses. Employment in the Road Traffic Management has increased following discussions with a long standing agency, they advised Shaw Trust that they had a new contract to supply labour in the Road Traffic Management Industry. This created an opportunity for CFO3 to train and place community participants into employment. This opportunity has now successfully been introduced in custody setting and with the support of the prisons, the agency now attends and interviews participants for road traffic management employment opportunities. During CFO3, 26% of participants who gained employment went into construction, 10% gained employment as road construction operatives and 8% of participants became managers in storage and warehousing. It was also highlighted that Case managers are working with more participants who have poor to no previous work experience. This has resulted in more time spent on making participants employment ready.

Difficulties were highlighted in relation in identifying jobs for sexual offenders. Another agency the Provider utilises has recently changed their stance on putting participants convicted of sexual offences



into employment, now having a blanket rule rather than assessing participants on an individual basis. In order to deal with this issue, the employer relationship team have spent time identifying other employers have been able to find some companies who have agreed to employ non-contact sexual offenders. Due to the high number of referrals from NPS, Case Managers stated that they are continually trying to identify and work with employers that will take on those convicted of sexual offences.

In London, Case Managers identified similar trends in employment. Case Managers stated that the majority of participants are interested in the construction industry and more specifically, the rail industry. Due to this, participants who already have CSCS cards and have completed the personal track safety (PTS) course are highly employable. CSCS courses are delivered in both custody and community settings for those wishing to gain employment in these fields. CATS+ data corroborated this, with 38% of participants who gained employment going into construction and 26% of participants gained employment as rail construction & maintenance operatives. It was highlighted however that there are many occasions where participants are unsure of what type of employment they want to go into and choose to aim for construction as it is easier to move into. When this happens, Case Managers stated that they discuss other options with participants whilst trying to manage their expectations.

Case Managers highlighted that the introduction of the Employer Relations Manager in 2017 has allowed Shaw Trust to better support participants into employment. The purpose of this role is to engage with potential employers and raise the profile of CFO3. They monitor the labour market to identify changes in employment opportunities. As previously discussed, Case Managers stated that some participants choose construction or rail employment as they believe it is easier to find employment, the Employer Relations Manager will be addressing this issue by identifying alternative opportunities for participants. Prior to this role, CFO3 had minimal direct contact with employers as most jobs were secured via recruitment agencies.

A barrier that was highlighted by Case Managers was participants' goals to become self-employed. Whilst this is a viable option for many CFO3 participants, it was highlighted that sometimes, participants can underestimate the financial cost and personal difficulties in pursuing self-employment. A particular difficulty that was raised was a lack of organisational skills. Case Managers stated that it was important to manage client's expectations and support them to identify their short-term and long-term goals. Shaw Trust stated that as with most regions, there are pockets of offence types in each area. In the East of England, It became apparent that in Suffolk there was one specific area that had a high number of participants with internet sex offences. Most of these participants were highly educated and experienced, but due to their licence restrictions around the use of ICT, they were unable to return to their previous employment positions. In order to deal with this, Case Managers stated that they have developed close relationships with Public Protection teams to ensure that any activity they conduct with the participants is in line with their restrictions. Despite this, it has been difficult to find employment opportunities that do not require ICT usage. Case Managers have



now been up-skilled to provide participants with self-employment advice and support, including accredited self-employment courses and developed relationships with other support providers such as the JCP Work Coaches.

During CFO3, Shaw Trust have created an Employer Relationships Manager role to engage with potential employers who are willing to employ CFO3 participants. One employer, a food packaging and haulage company, reported a significant staffing loss of European workers after the Brexit referendum result and needed to source employees. Participants were then supported into gaining relevant qualifications which allowed for a number of CFO3 participants to gain work placements. This was supported by CATS+ data which showed that 10.4% of those employed in the East of England went to management roles in storage and warehousing. Another popular area of employment was construction with 10.8% of employment outcomes being in this area.

### HMPPS changes

Changes to NPS, with the introduction of Community Rehabilitation Companies (CRC) were highlighted by Case Managers in the majority of contract areas as an area where Providers have needed to adapt. In particular, office closures, staff turnover, reluctance from some offices to refer and also increases in referrals from some areas.

Case Managers in all areas identified that due to staffing changes across HMPPS, NPS and CRCs, it is important to continuously build good working relationships within these organisations. In order to achieve this, Case Managers stated that they regularly attend meetings with NPS and CRC staff to promote CFO3 and ensure that referrals are being made to CFO3. Case Managers in the West Midlands and East Midlands identified issues in communication and resistance from NPS and CRCs due to the split, which initially resulted in lower referral numbers. These issues were resolved by improving relationships and communication with NPS and CRC offices in these areas.

In relation to custodial changes, Case Managers in the East of England highlighted that the Regional Education Manager in HMP Wayland identified that there was a reduction of need for CFO3 referrals however, there was a higher need in HMP Highpoint. Accordingly, Case Manager presence was reduced in Wayland and increased in Highpoint. They also identified that due to the loss of National Career Service (NCS) and changes in prison regimes, they have observed a higher workload for Case Managers. This was also identified by Case Managers in London who highlighted that they need to adapt to change quite regularly in custodial settings due to changes in prison regimes. Case Managers in the West Midlands highlighted some significant difficulties they have faced due to the changes in management in HMP Birmingham in February 2019. During rioting, they experienced damage to their office. In HMP Leeds, it was identified that there has been a high turnover of prison staff. Case Managers adapted to these changes by self-sourcing CFO3 referrals. They also engage with stakeholders, LEPs and Reducing Reoffending boards to ensure that there is a continued presence of CFO3. In the North East, it was identified that there was an increasing need in HMP Kirkclevington



which resulted in increases in CFO3 staff, it was also identified that by the provider investing more resources into the local category D prison, more participants were gaining employment directly following release, this was back up by CATS data.

Changes in the CFO3 pathway which was implemented in 2018 was a significant change for CFO3 providers. The participant pathway was adapted changing short courses and vocational education courses (VETs) to education whilst on programme (EWOP), education on leaving (EOL) and assisted into employment (AIE). Case Managers in the South West stated that meetings were held with stakeholders in order for them to buy into the adapted education route. They also identified that it was important to manage stakeholder expectations as CFO3 providers are not a mainstream education/training and employment service. In custody settings, Case Managers in the South West felt that they were often put under pressure to fill gaps, particularly if governors were unable to commission their own provision.

### Provider structure changes

A significant change in provider structure during CFO3 was the merge between Shaw Trust and Ixion. Due to this, there has been a staff restructure across each of their contract areas. Case Managers in the East of England identified that there have been changes in the management of the supply chain, resulting in the supply chain being more accountable for their own performance and now receive more support from the Supply Chain Manager. In the South East, it was highlighted that due to the merge, alternative ways of working have been developed which Case Managers have needed to adapt to these. As previously discussed, the introduction of an Employer Engagement team has been a positive change for Shaw Trust and Ixion. Case Managers stated that this has improved employment opportunities for participants by diversifying the types of employment available and building relationships with local employers.

In the South West, Case Managers stated that there have been changes in quality assurance (QA) processes during CFO3, resulting in a lower number of checks being carried out. It was highlighted that some Case Managers felt unsupported in this process as they aren't receiving the same amount of guidance on QA issues. This has been rectified by providing staff with in-house training to ensure that they are aware of QA requirements. There have also been changes to the supply chain in this contract area, which has led to some courses being unavailable for participants.

Changes to the supply chain was highlighted by Case Managers in the East Midlands. Changing Lives provided specialist delivery for female participants across the East Midlands. Due to travel distance and changes in staff, it was agreed that Acorn Training would take over delivery and work with female participants in this area. As a result, Acorn CFO3 delivery has increased and staff levels have therefore also increased to accommodate this. Case Managers highlighted that they have built new relationships with training providers and utilised existing links to improve the support available for





CFO3 participants. APM have been delivering further staff development training to increase staff capacity to deliver accredited training services across their contract areas. Case Managers stated that they have faced challenges due to staff changes in the East Midlands and fluctuating targets within their own organisation. In Yorkshire and Humber, Case Managers stated that they now have mandated administration days to increase CATS inputting, as this is not always possible during appointments with participants. This has enabled Case Managers to keep up to date with their own administration/paperwork, however it reduces time spent with participants.

Achieve North West declined to comment on how they have adapted to changes in Provider structure.

### Summary

Providers have adapted to various changes since the commencement of CFO3. These changes were often dependant on the area of delivery, particularly in relation to changes in participant demographics. Mental health issues were highlighted as an increasing need for participants in the majority of areas, however, due to the CFO3 CATS assessment combining mental and physical health when scoring participants needs, it was impossible to identify if this was the case. There has also been an increase in relationship needs across almost all areas, except for in the South West and Yorkshire. It is likely that this is due to an increase in domestic violence convictions. In terms of employment, analysis showed that the most common employment area for CFO3 participants was the construction trade. Providers supported participants to gain the relevant qualifications to enable them to gain employment in construction. Providers had already identified this trend and had adjusted their delivery accordingly to ensure that participants could engage in relevant education and training for positions in this area of work. Difficulties in supporting participants with sexual offences into employment was raised as an issue for the majority of Case Managers, self-employment has been identified as a possible employment route for participants and some providers have spent time building relationships with potential employers who are willing to consider participants with previous sexual offending.

The HMPPS structure is rarely static and Providers, particularly those working in custodial settings, adapted to changes in the prison regime regularly. The biggest change for providers across all contract areas was the division of NPS and introduction of CRCs. Case Managers highlighted various issues such as the closure of offices and staff turnover. This meant that Case Managers had to work hard to build strong relationships with NPS and CRC staff to ensure that referrals are being made and to promote CFO3 delivery. Shaw Trust and Ixion Case Managers identified that the merge between the two providers was a significant change for them in relation to roles and delivery. The introduction of an employment engagement team was seen as a positive step by Case Managers as employment opportunities have been broadened due to the employment engagement team developing relationships with new potential employers.





Future research would be beneficial to better understand the changes in relationship needs and identify whether the number of participants convicted of domestic violence has in fact increased or whether other relationship needs are prevalent. These results also highlight the need for an additional assessment, possibly at the mid-point of a participant's journey to identify if participant needs have changes since the initial assessment. It is likely that analysis on participant needs would benefit from mental health and physical health needs being separately scored on the CATS assessment to be able to distinguish each need with greater ease.

### 3.2 Digital Development

The way that Case Managers communicate with CFO3 participant is dependent on the location that they work in. In the community Case Managers can adopt a range of communication methods, however those in custody are restricted in terms of electronic devices.

#### Community

Case Managers who worked in the community reported that the frequency of contact was dependant on the clients need at that particular time. Some participants required daily contact which could drop to monthly contact if and when required. The majority of this contact was done by telephone and text messaging. Email was used occasionally by Case Managers when appropriate. Case Managers stated that they preferred face to face contact as it allowed them to observe participants' reactions and their understanding of information, through body language and facial expressions. The majority of Case Managers highlighted that making appointments at times which coincided with Probation Officer appointments in an attempt to improve attendance and minimise the number of trips that CFO3 participants need to make to NPS and CRC offices. When making appointments or giving information to participants, Case Managers highlighted telephone and text message contact as being the preferred methods due to the convenience and speed. Despite this, Case Managers stated that participants can change their phone numbers and lose their phones, which was highlighted as an additional barrier for Case Managers when trying to engage with participants. Another barrier was attendance rates. Despite Case Managers aiming to arrange appointments immediately before or after other appointment, participants are not required to attend CFO3 appointments. This means that Case Managers deal with no-shows regularly which prevents them from working with and engaging participants. Surprisingly, the majority of Case Managers stated that their preferred method of communication has not changed over the course of CFO3. They stated that they rarely used video call/messaging which has become more popular with the general population over recent years. It is likely that this is due to IT access limitations for participants in custody.<sup>3</sup>

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<sup>3</sup> <https://www.messengerpeople.com/whatsapp-user-base-uk/>



## Custody

In custody, the use of communication is limited. Case Managers stated that they met with participants most days and communicated predominantly face to face. Participants do not have access to mobile phones, therefore it is not surprising that face to face contact is the commonly used method of communication. Case Managers also stated that they sometimes used letters to communicate with participants, particularly appointment letters.

Pressure to achieve targets was highlighted as a barrier for Case Managers working in custodial settings. Due to these pressures, time spent with participants is often compromised with sessions being less frequent or shorter in length. Another barrier was the prison regime. The daily regime in custodial settings can often mean that participants are busy engaging in other activities, such as education or work, at times when they have appointments with Case Managers. Also, if there is an incident in the prison, this can stop the movement of staff and prisoners, resulting in Case Managers not being able to engage with participants, which then leads to loss of time and demoralisation of staff and participants.

## Summary

The way that Case Managers communicate with participants has generally remained static since the commencement of CFO3. In the community, Case Managers' preferred method of contact was face to face appointment, however when this was not possible they communicated with participants via telephone calls and text message. They described difficulties with participants changing their telephone numbers frequently and losing their mobile phones. Surprisingly, Case Managers have not adopted modern communication types, such as video calling. In custody, Case Managers were limited in terms of communication. As participants in custody do not have access to telephones, Case Managers interact with participants face to face. Case Managers in custody highlighted various issues in meeting face to face with participants, usually due to the prison regime such as lock downs and participants being involved in other activities.

### 3.3 Working with other CJS organisations

CFO3 delivery takes place in HMMPS custody and NPS/CRC settings and therefore it is imperative that Prime Providers develop and maintain effective working relationships with a wide range of CJS organisations. The final set of themes focusses on how Case Managers engage with CJS organisation in within the scope of CFO3 delivery.

#### National Probation Service (NPS) & Community Rehabilitation Company (CRC)

The majority of Case Managers work closely with NPS and CRC staff both in custody and in the community. Case Managers across all contract areas stated that they receive referrals from Offender



Managers and Probation Officers,. Feedback was highlighted as a valuable tool, Case Managers stated that they regularly attend meetings to discuss participant progress and any specific requirements and settlement needs. Working collaboratively and ensuring that NPS and CRC staff are updated on participant progress enables them to update NDelius records and keep relevant risk information up to date. In the community, Case Managers often work within NPS and CRC offices in their contract areas which enables them to schedule appointments at times adjacent to when participants have appointments with their Offender Manager or Probation Officer. This increases the likelihood of participants attended and reduces the need for them to attend the offices numerous times. It was identified that working closely with both NPS and CRC staff allows Case Managers to promote CFO3 and ensure that referrals are being made. Case Managers stated that relevant publicity materials are placed around NPS offices to promote upcoming courses and Case Managers in all contract areas regularly communicate with NPS and CRC staff via email to promote CFO3 delivery. Holding regular meetings with new staff was discussed by the majority of Case Managers in each contract area to ensure that new members of NPS and CRC are aware of the specific CFO3 delivery available and how to make referrals. Case Managers in the East Midlands stated that participants are often referred by NPS staff specifically for mentoring services when they have been released from custody. In custody, Case Managers stated that they have less contact with NPS and CRC staff and usually liaise with NPS, in person and via telephone or email to gain full risk information for each participant and discuss the participants resettlement needs. Contact is then increased when the participant is due to be released into the community to allow the through the gate model to run smoothly. Case Managers highlighted that it was important to discuss licence conditions with NPS staff when a participant is due to be released into the community.

Case Managers in Yorkshire & Humber stated that they received community referrals in CRC offices through self-referral as CRCs in this area utilise another organisation as the prime education, training and employment provider. However in custody, Case Managers in this area stated that they regularly receive referrals from CRC staff. In the South East, Case Managers highlighted the difficulties in engaging with CRC staff in custody due to CRC staff shortages.

### Prison staff

In custody, Case Managers discussed communicating with a number of different departments, working collaboratively with a range of departments. The majority of Case Managers in all contract areas stated that they communicate regularly with the reducing re-offending teams, safer custody teams and security. Case Managers discussed attending regular meetings with a wide range of custody teams and external organisations to ensure collaborative working and to promote CFO3.

Case Managers highlighted the need to update Offender Supervisors and Personal Officers regularly on the progress of CFO3 participants. The majority of Case Managers stated that they work closely with the Offender Management Unit (OMU) staff to ensure that they are aware of participant risk and



to identify new referrals, particularly prisoners who are being released into the community in the near future. In the South West, Case Managers identified barriers in the awareness of CFO3 in their area. They stated that promote CFO3 using leaflets and booklets however, there are still a number of staff members, including senior management, who are not aware of the provision offered by CFO3. Communication between Case Managers and the education department was highlighted as being important to ensure that courses could be arranged and that adequate rooms were booked for CFO education and training courses.

In the West Midlands, Case Managers highlighted some barriers in gaining the trust of some prison staff, they emphasised the need to develop good relationships with these staff to demonstrate the benefits of participants engaging with CFO3 providers.

Case Managers who are based in the community have little communication with prison staff, however they all discussed having the means to do this when necessary. In the West Midlands, Case Managers stated that they often communicated with resettlement and education departments to request certificates for participants who have completed qualifications whilst in custody, if the participant was not in possession of it. In the North East, the majority of respondents were community based. Case Managers communicated with through the gate (TTG) staff in custody when participants were being released into the community to increase the through the gate support available to participants

### Prison Education Framework

The Prison Education Framework (PEF) is the education provider for prisons in England. This was previously known as Offenders Learning and Skills Service (OLASS). In the community, Case Managers disclosed having little contact with PEF departments, as they are custody based. It was however highlighted that Case Managers in the community do have some contact with them in order to confirm any educational and training courses that a CFO3 participant has been on in custody and to request copies of certificates to provide participants with proof of their learning. By doing this, it ensures that there is no duplication of work and Case Managers can support participants to move onto the next stages of their CFO3 journey. Some Case Managers who are based in the community were not aware of PEF.

Case Managers based in custodial settings refer CFO3 participants to and received referrals from PEF. The majority of Case Managers stated that they liaised with PEF to provide information on what CFO3 providers can deliver and how they can enhance education services rather than duplicate it. Maths and English courses were highlighted as being important and Case Managers in the North East and North West referred participants to PEF for this purpose. When participants are undertaking CFO3 education and training courses, it is sometimes necessary for them to be excused from PEF education sessions for short periods, without causing disruption to participants' education progress. Case Managers stated that it was important to have a working relationship with PEF department to ensure that this possible.



### Other CJS organisations

CFO3 Providers worked collaboratively with a range of other CJS organisation. Alongside their own supply chain, Case Managers worked closely with mainstream provision providers, making and receiving referrals when necessary. These included the likes of NACRO which is NPS funded provision, Mind, Barnados, Shelter, DWP etc. Mainstream provision providers are already based in custodial setting and in the community. Case Managers communicate with these organisations to ensure that there is no duplication and to enhance provision for hard to help offenders.

Case Managers in London stated that they are involved in parole boards and court hearings when necessary, particularly if a participant is being charged for a historic offence and decisions regarding participant's release from custody. In the East Midlands, Case Managers discussed occasionally feeding into the work undertaken by Multi-Agency Public Protection Arrangements (MAPPA), ensuring that delivery is appropriate for individual cases.

### Barriers faced

Case Managers face barriers to engagement both in custody and in the community. It is important for Case Managers to attempt to overcome these barriers to enable them to provide effective provision to CFO3 participants. In custody, collaboration with education and training departments was highlighted as a barrier for Case Managers. They stated that CFO3 participants were often not excused from education sessions to attend CFO3 appointments. These barriers were faced by communicating with these departments to explain the purpose of sessions and also by discussing suitable appointment times with participants to reduce the need to take them out of other sessions which are supporting their education.

Collaborative working between Case Managers and CRC staff was highlighted as a barrier, particularly at the commencement of CFO3. In a number of contract areas, Case Managers faced issues with receiving referrals from CRC Case Managers. In order to improve relationships and increase referrals, Case Managers arranged meetings with management to promote CFO3. This was successful in some contract areas however some are still dealing with these barriers at this time. Case Managers stated that they accomplish this by ensuring that they are visible in NPS and CRC offices so that that NPS and CRC staff are aware of the provision available for offenders and how to make referrals. In the North East, Case Managers stated that they receive a lower than expected number of referrals for female participants. These Case Managers identified that with further investigation, some female participants were not ready to engage and they experienced a number of female participants failing to attend appointments when referrals were made. Female participants are more likely to have caring responsibilities than males which may reduce their engagement<sup>4</sup>. Case Managers also highlighted IT

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<sup>4</sup> Ministry of Justice (2015).Female Offender Strategy. Available at: <https://www.gov.uk/government/publications>



issues as a barrier to their daily work. These issues were reported to the relevant Provider and CRC departments.

Case Managers also described initial difficulties in establishing themselves in custodial establishments. In order to challenge this, Case Managers sent time promoting CFO3 and attending meetings to share information with prison staff. Due to the restrictions in custody, which vary across estates, Case Managers stated that they adapted their delivery to suit this, by scheduling appointments at particular times, such as in the morning when participants have a better chance of being available or when participants have returned to their wing for lunch.

### Summary

CFO3 providers work with a number of CJS organisations to ensure that participants received the most appropriate support and reduce the amount of duplication. The majority of Case Managers work closely with NPS staff and receive referrals from them. Feedback was highlighted as being valuable which enabled NPS staff and Case Managers to keep up to date with participant progress and changes in risk. Similarly, Case Managers based in custody stated that they worked closely with offender supervisors, personal officers and staff in the offender management unit to update them on participant progress, receive risk updates and identify potential new referrals. Case Managers in custody also make and receive referrals from PEF and liaise with them to reduce duplication in courses offered to participants. They stated that it was important to build a good working relationship with PEF staff as participants sometimes need to be excused from PEF sessions to engage with CFO3. In contrast, Case Managers in the community were not always aware of PEF and those who were had limited contact with them. They only communicated with PEF to confirm participant qualifications when required.

Case Managers identified barriers to communicating with other CJS organisations, particularly in relation to the awareness of CFO3 within custody, NPS and CRC. Case Managers try and build good working relationships with other CJS organisations and arrange meetings to promote CFO3.

## 4. Conclusion

There have been various changes during the course of CFO3. Participant demographic changes varied throughout each contract area with the exception of participants convicted of sexual offences, which has increased in all but one area since the commencement of CFO3. Case Managers experienced difficulties in supporting this group, particularly into employment, due to restrictions and employers' reluctance to employ ex-offenders with sexual offending history. CFO3 providers have adapted their delivery to suit the needs of participants and reported investigating changes in particular demographics. In relation to participant resettlement needs, the level of need appears to have reduced from the start of CFO3, with the exception of relationship needs. This was not reflected in the responses from Case Managers with them reporting increases in accommodation and financial





issues. It is likely that this is due to the timing of the CFO3 assessment being administered and recommendations have been made regarding this. An increase in mental health needs was also identified by Case Managers however, as the CATS assessment combines physical and mental health needs when scoring the assessment, it is unclear as to whether this is the case.

Employment opportunities have changed slightly over the course of CFO3 with construction work being the most popular area of employment for participants across all contract areas. CFO3 provider have adapted to this by delivering specific courses for participants to enable them to gain the appropriate qualifications and improve their desirability to employers. The development of the Employer Engagement team was highlighted as a positive change for Ixion and Shaw Trust, improving relationships with potential employers in their local area. Case Managers experienced similar barriers in relation to changes within HMPPS structure. Staff changes within HMPPS, NPS and CRC offices has meant that Case Managers need to have a continuous presence in these locations to ensure that referrals are being made and that CFO3 is visible. Case Managers across the majority of contract areas discussed publicising CFO3 in meetings with stakeholders to improve referral rates and some Case Managers have begun to self-source participants in custody.

Whilst there have been slight changes within each Provider, a significant change was the merge between Shaw Trust and Ixion. Due to this, there have been significant changes to staff roles and quality assurance. Case Managers appear to have adapted to this well whilst describing some initial difficulties.

The way in which Case Manager communicate with CFO3 participants has remained static over the course of CFO3, despite the developments in technology. Case Managers both in custody and in the community preferred face to face meetings as it was easier to observe participants reactions and engagement. When this was not possible, Case Managers utilised telephone contact and text messages to communicate with participants in the community. In custody, communication was limited to face to face contact which Case Managers described as being a challenge occasionally due to the prison regime. In the community, Case Managers stated that participants lose their phone or change their mobile number frequently which can make communicating with them extremely difficult.

CFO3 providers work closely with a wide range of CJS organisations, to reduce duplication and improve the support offered to participants. In the community, Case Managers often work in NPS and CRC offices and liaise with staff to provide updates on participant progress, to improve referral rates and to gain risk information. A number of Case Manager described arranging appointment to follow on from participants' probation meetings to increase the likelihood of them attending meetings. In custody, Case Managers liaised with numerous departments to ensure that relevant staff such as Offender Supervisors are aware of participants' progress and accordingly, the majority of Case Managers worked closely with the OMU. In custody, Case Managers also worked collaboratively with PEF, sending and receiving referrals dependant on the participants' educational needs. Case Manager identified the need to have a good working relationship with this department as at times it may be





necessary for participants to be excused from education sessions to attend CFO3 appointments. CFO3 provider liaise with numerous other CJS organisations such as mainstream provision providers to ensure that participants are receiving the most appropriate support.

Case Managers highlighted some barriers when working with CJS organisations. In particular, Case Managers identified that building relationships with organisations was difficult at the commencement of CFO3. Case Managers have adapted to this and spent time building good working relationships within HMPPS, NPS and CRC offices to ensure that these barriers were tackled. Promoting CFO3 was important when establishing relationships and Case Managers have largely been able to work well with other organisations to provide participants with the most appropriate support whilst reducing duplication.

## 5. Recommendations

- Providers should continue to find alternative ways to support participants with sexual offences into employment.
- It would be useful to investigate the increase of relationship resettlement needs further to identify whether additional support is required for this group.
- It is recommended that future CFO assessment tools view physical health and mental health as separate resettlement needs to allow for more detailed evaluation.
- A mid-point assessment would be beneficial to highlight resettlement needs that have been addressed and to identify any additional needs which may have arisen during the participant's journey.
- Case Managers should continue to build strong relationships with other CJS organisations and promote CFO3 within the CJS to ensure that referrals are being made and duplication is reduced.
- Identifying and linking in with organisations who provide free courses would be advantageous to improve participants skills and support them to engage with mainstream provision
- Working with employers to promote sustainable employment would be more beneficial for participants than entering into zero hour contracted employment.
- It is recommended that CFO3 Provider engage with CFO3 evaluations to improve delivery and inform future policy.