

# **Supplementary Guidance for Integrated Case Management (ICM) A Targeted Approach to Case Conferencing**

**This document outlines the Scottish Prison Service  
Guidance in relation to Targeted ICM**

Prisoner Case Management, Strategy & Stakeholder Engagement  
Version 1.0 - Published 24 June 2024

**Unlocking Potential - Transforming Lives.**

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## 1.0 Introduction

### Background

[ICM Practice Guidance Manual 2007](#)<sup>♦</sup>, provides a dynamic framework for conducting comprehensive assessments of prisoner risks, needs and supports throughout their sentence and post-release. When comprehensively implemented, ICM delivers consistent information sharing, efficient resource allocation, and progressive transition support.

Risk assessments and management will follow the structured [FRAME](#) model – Factors, Risk Assessment, Management, Evaluation and Communication. This provides a consistent framework for collaborative risk analysis and planning ([Framework for Risk Assessment, Management and Evaluation: FRAME, page 48](#))<sup>◇</sup>.

### Purpose of ICM

As outlined within the [ICM Practice Guidance Manual 2007](#)<sup>♦</sup>, ICM is a risk management approach designed to reduce re-offending by providing coordinated and sequenced interventions between criminal justice agencies. The Case Conference model is a key component of ICM, bringing together key parties to share information, discuss risks and needs, and plan collaborative actions. ICM also aims to improve transitional arrangements for prisoners being released from custody.

### SPS commitment to Equality, Diversity and Human Rights

SPS is fully committed to equality, diversity, inclusion, and respect for human rights. SPS actively values diversity and inclusion, tackles inequalities, promotes and respects equality and human rights by taking action through a dynamic, systematic and evidence-based approach. The Mission of SPS is to transform the lives of people in our care so they can fulfil their potential and become responsible citizens.

We deliver this through:

**Custody** – Managing safe and secure custodial environments;

**Order** – Providing stability and order that helps offenders to transform their lives;

**Care** – Supporting wellbeing and treating with respect and humanity all in our care; and

**Opportunity** – Providing opportunities which develop the potential of our staff, our partnerships and the people in our care.

Our Values are:

**Belief** – We believe that people can change.

**Respect** – We are inclusive, respecting the needs, rights and voices of everyone equitably.

**Integrity** – We have high ethical, moral and professional standards.

**Openness** – We work with others to achieve the best outcomes.

**Compassion** – We care about people and believe that positive relationships are a critical enabler of change.

**Humility** – We cannot do this on our own, we recognise that we need to work and learn from others.

<sup>♦</sup> ICM Practice Guidance Manual 2007. Available [here](#)

<sup>◇</sup> Framework for Risk Assessment, Management and Evaluation (RMA). Available [here](#)

**Innovation** – We continually find ways to improve the delivery of prison services in Scotland.

### Relationship-Centred Service Delivery

The key to realising our ambitions is the high-quality professional relationship between staff and those in our care ([SPS Corporate Plan 2023-28](#)<sup>o</sup>, page 11). A core philosophy underlying ICM is adopting a person-centred approach where we treat prisoners with dignity, compassion and respect.

While there will always be a place for prison, we must take a person-centred approach to rehabilitation where people are supported in the most appropriate and effective setting ([The Scottish Government's Vision for Justice in Scotland 2022](#)<sup>+</sup>, page 6). The [Codes of Practice for Social Service Workers and Employers](#)<sup>\*</sup> support the protection and promotion of the rights and interests of people who use services, and their ability to make informed choices. The Codes also emphasise the need to promote the independence of people who use services and empower them to understand and exercise their rights.

## 2.0 Purpose of this Policy

This supplementary guidance is to provide a coherent framework for ICM, enabling a targeted, collaborative approach focused on rehabilitation and reducing re-offending. By utilising a target driven approach to focus case management on those individuals who would benefit most from enhanced support and interventions, SPS can strategically direct collaborative case conferencing and transitional services that maximise the impact on rehabilitation and re-offending outcomes.

As outlined in the [SPS Corporate Plan 2023-28](#)<sup>o</sup>, **Objective 3** states, “*People in Scotland’s prisons are better supported to follow an individualised pathway towards release, in ways that prioritise public protection.*” In alignment with the [National Strategy for Community Justice](#)<sup>‡</sup>, SPS will undertake actions to improve release pathways and increase access to case management opportunities for those in custody. This includes streamlining processes to safely prepare prisoners for release in a timely manner. By contributing to the aims of the National Strategy through these initiatives, SPS reinforces its legal duties while continuously improving rehabilitation and reintegration outcomes. This will be achieved by considering the needs of the individual, engaging with other agencies, and providing comprehensive wraparound support.

<sup>o</sup> SPS Corporate Plan 2023-2028. Available [here](#)

<sup>+</sup> The Scottish Government’s Vision for Justice in Scotland 2022. Available [here](#)

<sup>\*</sup> Standards guiding the professional conduct and practice of social service workers and their employers in Scotland. Available [here](#)

## 3.0 Policy Intent

SPS will adopt a targeted, risk-based approach to ICM in order to enhance rehabilitation and reduce re-offending rates. This will improve the consistency and quality of case management procedures across all establishments with:

- ◆ Implementation of a targeted approach to realise improved rehabilitation and reintegration outcomes by focusing resources based on risk through a schedule of flexible, supportive and meaningful case conferences;
- ◆ Provision of standardised guidelines and protocols;
- ◆ Facilitation of seamless transitions from custody to community by strengthening the transitional planning, co-ordination, and integration between ICM teams and community supervision;
- ◆ Strengthening the ICM framework - with the ultimate goal of reducing re-offending rates;
- ◆ Give consideration to individual needs related to disability, ethnicity, religion, sexual orientation and other protected characteristics ([Equality Act \(2010\)](#))\*.

### A Targeted Approach to Reducing Offending

Targeted ICM is a specific approach that complements the existing ICM procedures of focusing on identifying and managing the risks of all statutory prisoners. This is done through a more intensive and co-ordinated set of interventions and supervision measures. Targeted ICM is based on the principle that by focusing on the highest-risk offenders, it is possible to have the greatest impact on reducing re-offending. By taking an holistic, personalised approach, targeted ICM embraces the desistance principles embedded in the [Criminal Justice \(Scotland\) Act 2003](#)<sup>></sup>.

The foundation for decision-making in Targeted ICM will be provided by the LS/CMI. The LS/CMI uses validated statistical methods to classify offender risk levels as very low, low, medium, high or very high based on criminal history and dynamic risk factors. It further provides analysis of an individual's risk areas and criminogenic needs. Priority will then be given to higher risk cases for more intensive case management resources based on this evidence-led risk methodology.

LS/CMI assessments will be conducted after initial induction and as part of the pre-release transition process, at minimum. However, risk is not static and ongoing monitoring will determine when more frequent applications of the LS/CMI framework might be warranted.

### The Purpose of Targeted ICM

- ◆ To identify and assess the risks of statutory prisoners. This includes identifying the prisoner's risk of re-offending, as well as their risk of harm to themselves or others;
- ◆ To provide intensive and co-ordinated interventions and supervision. This may include drug treatment, mental health treatment, anger/violence management. Additionally, supports regarding community transition around skills & employment, housing support & tenancy management; and

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#National Strategy for Community Justice. Available [here](#)

\*Protected Characteristics. Available [here](#)

> Act of the Scottish Parliament that reformed the criminal justice system in Scotland. Available [here](#)

- ◆ To ensure we are bridging the gap between custody and the community, and that all appropriate measures are identified that support the prisoner’s needs to make a successful transition back to the community.

The purpose of ICM, outlined within the [ICM Practice Guidance Manual 2007](#)<sup>◆</sup>, is to reduce re-offending by effectively identifying and managing risks through co-ordinated and sequenced interventions between criminal justice agencies. This is done through a variety of methods, including the use of case conferences, risk assessments, and targeted interventions. Targeted ICM is an approach to case management that focuses on identification and analysis of statutory prisoners. This is done through a more intensive and co-ordinated set of interventions and supervision measures.

The Key Activity Areas ([SPS Corporate Plan 2023-2028](#)<sup>◆</sup>, page 22) will be embraced as part of the Targeted ICM arrangements:

- 3a. Consolidating and improving progression, case management and release arrangements.
- 3b. Developing education, skills and employability provision.
- 3c. Improving multi-agency partnership work in case management.
- 3d. Supporting links to, and collaboration with, communities.
- 3e. Shifting to new models of release pathways and arrangements, based on risk.

**Outcomes and Benefits**

When comprehensively implemented, Targeted ICM delivers:

Efficient and co-ordinated services that ensures prisoners receive the help needed in a timely and co-ordinated way.	Seamless information sharing that ensures information about the prisoner is shared efficiently and effectively with all partners and agencies.	Progressive support through sentence to provide prisoners with ongoing support with their custody journey.
Targeted and tiered case prioritisation to ensure the most appropriate cases are addressed first.	Holistic initial prisoner risk/needs analysis to identify the prisoner’s most pressing needs.	Improved reintegration outcomes to increase the chances of prisoners being successful in re-integrating into the community following release.
Meaningful case conferences can lead to increased prisoner engagement and improved outcomes by producing supportive Action Plans that align with their aspirations and motivations.	Consistent plan monitoring and case conferences to ensure prisoners’ Action Plans are still meeting their needs.	Enhances progression prospects through the improvement of case management procedures and release arrangements that closely align with prisoners’ Action Plans.

<sup>◆</sup> ICM Practice Guidance Manual 2007. Available [here](#)

<sup>◆</sup> SPS Corporate Plan 2023-2028. Available [here](#)

## 4.0 Scope

The Director of Strategy and Stakeholder Engagement (S&SE) is responsible for this policy and guidance. This guidance is to be followed by Governors of all public sector prisons and Directors of private prisons who will be required to provide assurance that local practice is consistent with national policy.

### Review Process

S&SE Directorate has responsibility for reviewing all ICM products and reporting recommended changes to the Director of S&SE in light of:

- ◆ Learning from Critical Incident Reviews (CIRs);
- ◆ Operational changes;
- ◆ Legislative changes; and
- ◆ Outcome of reviews from groups that meet to discuss case management processes.

This policy has been informed by a broad range of evidence gathered from across Scotland – from those who live and work in Scotland’s prisons, to stakeholders who work or have an understanding about the impacts of ICM and the wider case management policies.

To ensure robust version control, where any future amendments are made in relation to the role of ICM, a Governors and Managers Action Notice (GMA) will be issued informing Governors that an amendment has been made, with the current version of the policies relating to all case management processes being available in the [Prison Resource Library](#)<sup>□</sup>.

## 5.0 Definitions

For simplification of this document, the following terms and definitions apply:

Acronym	Definition	Description
	<b>Case conference</b>	A multi-agency meeting to assess and manage risk, examine the prisoner's progress and consider what interventions are required.
CBSW	<b>Community Based Social Work</b>	Criminal Justice Social Worker employed by a local authority who ensure continuity of support and supervision from custody to community, managing risks while helping prisoners successfully re-integrate after release.
CIP	<b>Community Integration Plan</b>	Found under ICM in PR2, all agencies involved in the case management process record relevant information in the appropriate domain. The CIP provides a single point of information sharing for all agencies to access, update and utilise to enhance the case management process. This provides for real time information to be available to all.

<sup>□</sup>Library for all SPS policies, guidance and documents. Available [here](#)

	<b>Community supervision</b>	Monitoring of released individuals on Parole or other conditional release programmes to reduce re-offending and mitigate risks.
	<b>Criminogenic needs</b>	Dynamic risk factors such as addiction issues, lack of education, anger management problems that can be addressed through targeted rehabilitation interventions.
	<b>Enhanced ICM</b>	For prisoners subject to post release statutory supervision.
ICM	<b>Integrated Case Management</b>	A collaborative and co-ordinated approach to case management across criminal justice agencies, service providers and community supervision to provide continuity of care and effectively manage risks and needs
	<b>Interventions</b>	Specific programmes, treatments and services delivered to prisoners to address criminogenic risks and needs, such as counselling, addiction treatment, education, etc.
	<b>Key milestones</b>	Significant events in a prisoner's sentence journey such as Parole hearings, intervention completion, or pending progression or release dates which require focused planning.
LS/CMI	<b>Level of Service/Case Management Inventory</b>	An assessment tool widely used by Social Work to assess both static and dynamic factors to generate an overall risk score (low, medium, high) and criminogenic needs for each offender. This is an evidence-based tool to guide rehabilitation and reduce recidivism through targeted case management strategies.
MAPPA	<b>Multi-Agency Public Protection Arrangements</b>	The fundamental purpose of MAPPA is public protection and managing the risk of serious harm. MAPPA is not a statutory body in itself but is a statutory framework through which the Responsible Authorities discharge their statutory responsibilities and protect the public in a co-ordinated manner.
PBSW	<b>Prison Based Social Work</b>	Play a key role in rehabilitation and risk assessment, case management, referral and transitional support, acting as a bridge between custody and community.
PR2	<b>Prisoner Records 2</b>	The prisoner record management system used by SPS.
PRL	<b>Prison Resource Library</b>	Internal site for access to all SPS policies documentation and guidance.
	<b>Rehabilitation</b>	The process of assisting prisoners to lead law-abiding lives through providing interventions and education to address criminogenic behaviours.
	<b>Reintegration</b>	The process of transitioning from prison back into the community with necessary support structures.



	<b>Recidivism</b>	The tendency of those who have been convicted of criminal offences to re-offend.
	<b>Risk Assessments</b>	Standardise tools and protocols used to evaluate and classify a prisoner's risk of re-offending and risk of harm to themselves and others. Common examples are LS/CMI, HCR-20 and SA-07.
	<b>Risk Factors</b>	Characteristics or variables, such as criminal history, substance abuse, anti-social behaviours, which are linked to a higher likelihood of re-offending. Assessed using risk tools.
RMA	<b>Risk Management Authority</b>	Working to reduce the risk of serious harm posed by violent and sexual offending. To protect the public, making sure that effective risk assessment and risk management practices are in place.
RMP	<b>Risk Management Plan</b>	A specialised plan developed for prisoners requiring additional oversight due to risk, outlining enhanced security measures, restrictions, contingencies. Generally managed under the RMT process.
RMT	<b>Risk Management Team</b>	Considers the assessment, intervention and management needs of those offenders referred via the ICM process and the decision making body that considers prisoners for progression to less secure conditions and/or community access.
	<b>Targeted Case Management</b>	A specific approach under ICM that focuses resources on the highest risk offenders assessed as the most likely to re-offend and benefit from intensive intervention and support.
	<b>Throughcare</b>	Providing continuous rehabilitative services, supports and supervision from custody to community re-entry.

## 6.0 Targeted ICM Case Conference Approach

Under the Targeted ICM process, there are pre-set case conferences: Initial, Pre-Parole and Pre-Release. These will follow the enhanced ICM process ([ICM Practice Guidance Manual 2007](#)<sup>\*</sup>, pages 51 – 63). For subsequent periodic case conferences between the initial and pre-release case conferences, a flexible schedule will be adopted for meeting the needs of each individual prisoner in the targeted stream.

Case conferences will be based on individual needs, risk profile needs and progress, rather than a fixed annualised timeline. The timescale for each case conference will be determined in consultation with all parties involved in that particular case conference. The focus of case conferences will be monitoring progress on agreed actions, updating accordingly and planning for the next case conference.

<sup>\*</sup> ICM Practice Guidance Manual 2007. Available [here](#)

Completion of an LS/CMI assessment is an essential pre-requisite for the Initial case conference. The case conference cannot adequately occur without the risk levels, criminogenic needs analysis, and structured risk assessment provided through the LS/CMI. As such, to ensure productive discussion of risk factors and development of a robust Action Plan, all prisoners participating in ICM must have an LS/CMI assessment finished and included in their file review prior to scheduling of the Initial case conference.

If the LS/CMI assessment is unavailable for the Initial case conference, it hinders the ability to address crucial insights that the assessment provides. This will lead to delays in formulating an effective Action Plan. Therefore, if an Initial case conference lacks the LS/CMI assessment, core members should agree to convene a follow-up case conference once the assessment is available. This agreement should be documented within the ICM minute with specified timelines as to when the LS/CMI will be available. Ensuring the provision of the LS/CMI assessment is essential for maintaining the integrity and effectiveness of the case management process within the ICM framework.

### Targeted Prioritisation of Periodic Case Conferences

To manage resources more appropriately, periodic case conferences and case management intensity should be prioritised based on analysed risk levels. In particular, those prisoners assessed as anything other than Low risk are given priority in terms of case management needs. Prisoners assessed as Low will be subject to minimal case conferencing. This approach recognises that individuals with a lower risk profile may require less intensive case management. This targeted prioritisation allows partners to allocate their time and resources more effectively, striking a balance between involvement across multiple prisoner cases. Structured timelines and case conferences will help efficiency and optimise resource utilisation for all partners.

By focusing resources on higher risk individuals, partners involved in the case management process can allocate their time and efforts more efficiently. This does not mean that lower risk individuals are ignored; rather, it ensures that resources are used judiciously and that the appropriate level of support is provided based on their risk assessment.

### Ongoing Case Conferences

Regular collaborative case conferences are critical components of an effective prisoner rehabilitation and reintegration approach. These case conferences provide a platform for stakeholders, including prison staff, community supervision agencies, and external providers, to assess the effectiveness of Action Plans, acknowledge prisoner progress, adapt strategies to meet evolving needs, identify emerging challenges, and leverage alternative supports.

A Targeted ICM approach is essential to adapt to the unique circumstances and changing needs of each prisoner. The frequency of periodic reviews should align with monitored progress, key milestones such as upcoming progression, completion of identified interventions, and events that signal the need for timely intervention. When immediate action is required, these case conferences can swiftly address negative behaviour patterns or support positive transitional events.

Beyond mere evaluations, these case conferences actively contribute to the optimal evaluation of assessments and Action Plans that guide the prisoner's rehabilitation journey.

Updated assessments inform necessary adaptations, ensuring that interventions remain relevant and impactful. Seamless information exchange between prison staff, community supervision agencies, and all engaged providers ensures coordinated service delivery, ensuring that the prisoner receives the necessary support throughout their rehabilitation and reintegration process. A targeted approach based on risk level and milestones ensures the right cadence without excessive meetings, allowing staff to focus their time on the prisoners with the highest risk and needs.

Key Considerations for Effective Collaborative Case Conferences:

- ◆ **Frequency:** Schedule regular reviews to monitor progress and adapt strategies.
- ◆ **Collaboration:** Engage all relevant stakeholders to share insights and perspectives.
- ◆ **Adaptability:** Dynamically adjust plans to meet evolving needs.
- ◆ **Information Sharing:** Ensure seamless data exchange for comprehensive understanding.
- ◆ **Targeted Approach:** Prioritise case conferences based on risk level and milestones.

Case conferences will include re-evaluation of risk levels using the [FRAME principles](#)<sup>◇</sup>. This allows case management plans to be adjusted based on changes in assessed risk factors, effectiveness of interventions and evolving needs.

Element	Description
Focus	Prioritise higher-risk prisoners for more frequent and thorough reviews. For lower risk prisoners, process can be less frequent.
Alignment with Milestones	Schedule case conferences around key sentence milestones, such as Oral Hearings, programme completion, or release dates.
Progress Adjustments	Reduce case conference frequency for prisoners demonstrating positive progress and increase contact for those struggling.
Addressing Emerging Needs	Discuss emerging needs or changes in circumstances to adjust the Action Plan accordingly.
Involvement of Relevant Parties	Include prison staff, community supervision, service providers, and professionals in relevant case conferences.
Documentation	Clearly document review outcomes, changes to the Action Plan, and required actions.
Consistency	Standardise the targeted review process for consistency in case management quality.
Resource Optimisation	Target reviews to focus on cases with greatest need and highest potential impact on recidivism.

### Frequency of Periodic Case Conferences

The frequency of periodic conferences should be aligned with the prisoner's progress, the key milestones in their sentence, and any events that signal the need for intervention, as well as helping to ensure that the system of reviewing prisoners at case conference is as efficient and effective as possible. For example, prisoners who are nearing release may need to be reviewed via case conference more frequently than those who are still in the early stages of their sentence. By targeting case conferences at those prisoners who are most likely to benefit from them, stakeholders can save time and resources, while still ensuring the needs of all prisoners are met. Professional judgement will need to be exercised to identify and agree future case conference timings.

<sup>◇</sup> Framework for Risk Assessment, Management and Evaluation (RMA). Available [here](#)

Examples of how the frequency of periodic case conferences may align with the prisoner's progress, the key milestones in their sentence, and any events that signal the need for intervention:

Situation	Frequency of Periodic Conferences	Reason
Nearing release	More frequent	Increased anxiety and stress, requiring more support for reintegration.
Achieving rehabilitation goals	Reduced frequency	Reduced risk to self and public, allowing for more autonomy.
Showing signs of non-compliance or relapse	Increased frequency	Increased risk to self and public, requiring more intensive intervention.

Everyone who has a role in managing prisoners within the ICM process should be mindful to ensure that mechanisms are in place to facilitate case conferences in response to signs of positive progress, sudden deterioration, or a significant change. This may include:

- ◆ commission of a further offence;
- ◆ relocation from mainstream conditions;
- ◆ transferring between establishments;
- ◆ a prolonged relapse into substance misuse;
- ◆ physical/mental health change;
- ◆ non-compliance with Action Plan;
- ◆ successful completion of intervention goals;
- ◆ recognising and encouraging ongoing positive behaviour/engagement;
- ◆ adjustment to Action Plans due to significant positive progress.

Defining the next case conference will be dictated by the Action Plan agreed at the previous case conference.

The Risk Management Authority's Standards and Guidelines for Risk Management 2016<sup>≈</sup> can offer guidance in identifying grounds for additional case conferences.

### Pre-Progression Case Conference

A Pre-Progression case conference to National Top End or Open Estate will be convened for prisoners approaching transition to less secure conditions. This milestone in the prisoner's journey should be scheduled appropriately, aligning with each individual's progression timescales. The case conference should occur **12 months prior** to the prisoner's scheduled progression date and aims to assess readiness for transition to less secure conditions.

The case conference will conduct a thorough evaluation of the prisoner's progress against their established Action Plan, updated risk assessments, and evidence of engagement with interventions and other relevant offending behaviour outcomes. Additionally, and if necessary, remedial actions will be undertaken to prepare the prisoner for less secure conditions.

<sup>≈</sup> RMA – Standards and Guidelines. Available [here](#)

This proactive approach facilitates a seamless transition by ensuring the provision of necessary support and risk mitigation measures as the prisoner moves towards less secure conditions and eventual release.

### Release Case Conference – Transition to Community

The concluding case conference focuses on planning for release, outlining the specific needs of the individual being released ([ICM Practice Guidance Manual 2007](#)<sup>♦</sup>, page 61). Focus will be on the availability of community resources to meet those needs, communication with community-based services who are critical for the continued co-ordinated support following release, the availability of community resources and supports to meet those needs, the role of the individual's family and friends in their reintegration, the risk of recidivism and how to mitigate that risk, and the importance of ongoing monitoring and support.

### Case Prioritisation for Prisoners Returning from Less Secure Conditions

Any prisoners returning to closed conditions from National Top End or Open Estate will automatically have their Action Plan prioritised for review through targeted ICM. Rather than undergoing the RMT<sup>®</sup> process typically used for such transitions, ICM will convene to review and adjust the Action Plan. This allows for a comprehensive multi-disciplinary review of their risk factors, needs, and community reintegration plans in alignment with the targeted ICM approach.

The rationale is two-fold:

1. Their return to closed conditions may signify a change in their risk profile that warrants thorough reassessment; and
2. Maintaining continuity through the established ICM process facilitates better information sharing and co-ordinated planning between stakeholders involved in their case.

### Recall to Custody

The Recall to custody case conference focuses on two main issues as outlined in the [ICM Practice Guidance Manual 2007](#)<sup>♦</sup>, page 57: (1) the prisoner's return to custody, and (2) revising the risk assessment and management plan. Key areas to discuss include the prisoner's compliance with licence conditions, any new charges or offences, overall progress during supervision, likelihood of re-release on licence, necessary interventions/services/supports during custody, and preparation of any reports for relevant authorities. A Recall to Custody case conference should occur promptly, ideally within six weeks of returning to custody. The CBSW and relevant community colleagues should attend, unless deemed unnecessary and reasons are recorded. The CBSW should ensure all relevant information is passed to SPS for better prisoner care and public protection functions.

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<sup>♦</sup> ICM Practice Guidance Manual 2007. Available [here](#)

### Prisoner Request for Case Conference

Prisoners will have the right to request additional case conferences if they believe there are grounds for review. To request a case conference, the prisoner must submit a request to their Personal Officer outlining the reasons and circumstances. The Personal Officer will consult with the ICM Co-ordinator to evaluate if the request meets the criteria for convening an additional case conference. If approved, the same procedures as periodic case conferences, including inviting all relevant parties, will be initiated. By formalising this process, we are empowering prisoners to have an active voice in their case management when they feel it is warranted based on their situation, and reinforces the person-centred approach of targeted ICM.

### Family Involvement and Support

Families play a vital role in the rehabilitation and reintegration process of prisoners. However, it is recognised that family members can sometimes feel frustrated after case conferences due to a perceived lack of progress or meaningful involvement for their loved ones.

The targeted approach aims to address this by facilitating case conferences that actively engage families throughout the process, including seeking prisoner consent for their presence during these discussions. This includes:

- ◆ Inviting family members to attend case conferences to provide input and voice any concerns directly;
- ◆ Clearly explaining the prisoner's Action Plan, progress updates, and next steps so families understand the rehabilitation journey;
- ◆ Identifying ways families can provide constructive support aligned with the Action Plan goals;
- ◆ Ensuring families have access to appropriate information after case conferences to enable understanding.

As outlined in the Family and Parenting Strategy: 2024-2029<sup>F</sup>, the inclusion and engagement of families in decisions concerning their loved one's imprisonment is paramount. This involves a multifaceted approach, ensuring families are supported appropriately and provided with timely updates and information. Facilitating access to case conferences and involving them as part of the decision-making process, will help ensure consistent communication, transparency and trust is developed, as well as providing them with meaningful information regarding their loved one's custodial journey.

Ultimately, the frequency of periodic case conferences should be tailored to the individual needs of each prisoner, subject to the mandatory case conferences. By aligning the frequency of case conferences with the prisoner's progress, the key milestones in their sentence, and any events that signal the need for intervention, those staff involved can help to ensure all prisoners are treated fairly and that their sentence planning needs are met.

### Provision of Comprehensive Case Conferences

The CIP within PR2 remains the most stable platform for updating and storing all relevant information regarding each prisoner. It is key to gathering information relating to prisoners. It

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<sup>F</sup> Family and Parenting Strategy: 2024-2029. Available [here](#)

is the responsibility of the ICM Co-ordinator and PBSW to check that all relevant information has been recorded on PR2. In addition to this, there are also Risk Assessment & Reports screens and a Case Conference screen. This provides an opportunity for all risk assessments and case conference minutes to be stored electronically in their parent format ([ICM Practice Guidance Manual, 2007](#)<sup>♦</sup>, page 64).

The outcomes of risk assessments will be clearly documented in the ICM minutes and attached to the Case Conference window in PR2. When completed appropriately, attaching the full risk assessments directly to PR2 is unnecessary, as this information is available within the LS/CMI dashboard accessed by Social Work partners. The information presented in the ICM minute will provide comprehensive risk assessment narratives, excluding non-disclosable details to uphold security. These narratives will provide sufficient information for stakeholders requiring access to risk assessment outcomes, while sensitive scoring information remains accessible solely to Social Work partners.

ICM relies on a cross-functional team to effectively administer prisoners' custody progress, risk assessments, transitional planning, and rehabilitative services referrals through a case conference approach. The team have key roles and responsibilities. A complete Role Description for these core members is available at [Annex 2](#).

### ICM Co-ordinator

The ICM Co-ordinator oversees the entire ICM process and ensures appropriate timelines and procedures are followed. Their responsibilities include ensuring appropriate arrangements are in place for each case conference, chairing risk analysis reviews and case conferences, tracking referral outcomes, and recording agreed upon Action Plans. They also continually liaise with Personal Officers regarding emerging prisoner issues.

### Personal Officer

As the officer with consistent direct oversight of a prisoner, the Personal Officer provides ongoing formal conduct reports as well as timely updates around changes relevant for case management. This includes developments related to behaviour, programming, incidents, sentence milestones, and transitional readiness. Updates are provided flexibly as required rather than only at scheduled conferences (refer to [Updating PR2 Records](#) section for further information). The Personal Officer has an integral role in the case management process and, although not a core member, their presence is valuable in providing updates, answering any questions and engaging collaboratively in the planning of the next stage of the prisoner's Action Plan. Their insights help form ongoing assessment planning and support.

### PBSW

The PBSW enables co-ordination between prison staff and external social services agencies regarding prisoner custody and re-entry planning. Their ICM duties involve completing a structured risk assessment prior to the Initial case conference and then annually thereafter,

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<sup>♦</sup> ICM Practice Guidance Manual 2007. Available [here](#)

processing referrals, liaising with relevant participants prior to case conferences, and sharing updates on service provider interventions.

### **CBSW**

The CBSW connects a prisoner to their existing community contexts, family support network, and transitional services during imprisonment and upon release. At ICM case conferences, they provide critical background details from previous risk assessments and progress updates on ongoing work to address identified needs. Post-release, the CBSW supervises the offender's return to the community.

### **PBSW/CBSW**

While PBSW and CBSW are core members of the Case Conference, there may be occasions when their attendance is not required. This should be determined on a case-by-case basis using professional judgement. Factors to consider regarding PBSW/CBSW attendance:

- ◆ Relevance of their recent contact with the prisoner;
- ◆ Whether they have new or pertinent information to contribute;
- ◆ If the prisoner's custody journey is early stage or pre-release;
- ◆ The risk profile of the prisoner.

If it is deemed their input would not be relevant or required, the ICM Co-ordinator, in consultation with PBSW/CBSW, may approve their non-attendance. However, they would still receive case conference minutes. Although it might be deemed their attendance may not be required, as a core member, if they wish to attend, they have that option.

## **7.0 Partnership Working**

### **Communication Between Partners**

Seamless communication between prison staff, PBSW/CBSW, and all engaged providers is essential for ensuring that the prisoner's Action Plan is co-ordinated across all settings. This includes sharing information about the prisoner's progress, their needs, and any changes in their circumstances. For example, if a prisoner is participating in an identified intervention, it is vital for this information to be shared to help provide an update to the prisoner's Action Plan. Similarly, if a prisoner has a mental health issue, it is important that medical practitioners are able to contribute relevant information regarding the prisoner's treatment plan. This way, assurance is given that the prisoner is receiving the appropriate level of services and support.

### **Efficiency Gains Through Collaboration**

The Targeted Case Management approach can create significant efficiency gains for partners by enhancing collaboration and co-ordination. This approach aims to create time efficiencies for all partners by strategically prioritising cases and streamlining co-ordination, optimising limited resources for maximum impact.

### **NHS Participation**

While NHS cannot be compelled to participate in ICM case conferences, their involvement is vital for comprehensive case management and action planning, especially regarding prisoners' health needs. The targeted ICM approach provides a structured platform and process that facilitates connections between NHS services and the multi-disciplinary team, including key partnership working with NHS. Although mandatory attendance cannot be



enforced, the targeted ICM framework aims to create an environment that emphasises the value of NHS participation and the importance of their contribution to action planning for better rehabilitative outcomes.

## MAPPA

The integration of the ICM process with [National MAPPA Guidance 2022<sup>M</sup>](#) plays a crucial role in ensuring the seamless transition of high-risk individuals from custody to community. ICM teams will operate within the framework outlined in [Chapter 15](#), 'Individuals Subject to MAPPA within the Prison System,' ensuring full compliance with MAPPA guidelines. Particularly, specific attention is directed towards [Chapter 5](#) - 'Individuals Subject to the Sex Offender Notification Requirements' (Category 1), and [Chapter 9](#) - 'Other Risk of Serious Harm Offenders' (Category 3). This integration underscores the commitment to effectively managing and monitoring high-risk individuals, facilitating their successful reintegration while prioritising public safety.

## 8.0 Multi-Disciplinary Staff Engagement

Observations and updates from additional staff provide valuable supplementary perspectives to enhance case management assessment accuracy, planning, and service co-ordination. While not core ICM team members, these staff play supporting roles through their direct interactions and oversight of prisoners. The insights they offer build a more holistic understanding of each individual for ongoing rehabilitative case work. All staff have a responsibility to encourage positive behaviour and shared progress towards reintegration.

While the core ICM team members carry out central case management tasks, input from wider prison staff across functions provides fuller context about each prisoner to inform goal-setting, evaluations and transitional support planning. Through embracing a variety of viewpoints, we tailor casework to the unique needs of each individual, fostering the skills and resources necessary for a smooth transition back into the community.

Role	Responsibility	Additional Information
<b>Healthcare Providers</b>	<ul style="list-style-type: none"> <li>• Conduct physical and mental health screening;</li> <li>• Provide clinical diagnosis and treatment plans;</li> <li>• Share relevant medical information and history to inform Case Planning and management;</li> <li>• Coordinate care within and outside prison.</li> </ul>	<ul style="list-style-type: none"> <li>○ Ensure prisoners receive timely medical care and treatment;</li> <li>○ Address physical and mental health issues that may impact rehabilitation;</li> <li>○ Collaborate with prison staff to provide holistic care.</li> </ul>
<b>Voluntary Organisations</b>	<ul style="list-style-type: none"> <li>• Provide additional services, programmes, and transitional supports aligned to prisoner needs;</li> <li>• Maintain collaborative involvement through conferencing;</li> </ul>	<ul style="list-style-type: none"> <li>○ Offer specialized services and programs tailored to prisoner needs;</li> <li>○ Provide ongoing support and guidance during the rehabilitation process;</li> <li>○ Collaborate with prison staff and community agencies to</li> </ul>

<sup>M</sup> National MAPPA Guidance 2022. Available [here](#)

	<ul style="list-style-type: none"> <li>• Can provide transitional support with housing, employment, finances, social integration, etc;</li> <li>• Fill crucial gaps for rehabilitation.</li> </ul>	ensure a seamless transition.
<b>Prisoner</b>	<ul style="list-style-type: none"> <li>• Engages in assessments, programmes, and interventions as outlined in Action Plan;</li> <li>• Proactively participates in case conferencing process, takes ownership of progression towards rehabilitation goals.</li> </ul>	<ul style="list-style-type: none"> <li>○ Actively participates in their rehabilitation journey;</li> <li>○ Takes responsibility for their actions and progress;</li> <li>○ Demonstrates commitment to positive change.</li> </ul>
<b>Additional Staff Valuable for Providing Insights</b>		
<b>Work Party Officers</b>	<ul style="list-style-type: none"> <li>• Can observe prisoners' general behaviours in a working environment and engagement in vocational/work assignments.</li> </ul>	<ul style="list-style-type: none"> <li>○ Offer insights into prisoner work ethic, interactions with colleagues, and adherence to work rules;</li> <li>○ Provide valuable feedback for assessing vocational suitability and potential employability.</li> </ul>
<b>Residential Staff</b>	<ul style="list-style-type: none"> <li>• Provide supplementary information to the Personal Officers' reports and offer overview of behaviours and compliance with regime;</li> <li>• In the absence of the Personal Officer, provide relevant updates as requested.</li> </ul>	<ul style="list-style-type: none"> <li>○ Offer insights into prisoner interactions with peers, compliance with rules, and overall behaviour within the residential area;</li> <li>○ Provide context for Personal Officer reports and ensure continuity of information.</li> </ul>
<b>Link Centre Staff</b>	<ul style="list-style-type: none"> <li>• Can share views on interactions with professionals and service providers.</li> </ul>	<ul style="list-style-type: none"> <li>○ Offer insights into prisoner engagement with external agencies, such as social workers, counsellors, or tutors;</li> <li>○ Provide valuable feedback for evaluating programme effectiveness and identifying areas for improvement.</li> </ul>
<b>Visit Staff</b>	<ul style="list-style-type: none"> <li>• Can provide useful observations from visits regarding interactions with friends and family.</li> </ul>	<ul style="list-style-type: none"> <li>○ Offer insights into prisoner relationships with family, emotional well-being, and potential support networks upon release;</li> <li>○ Provide additional context for understanding prisoner's social dynamics and support systems.</li> </ul>
<b>Interventions Staff</b>	<ul style="list-style-type: none"> <li>• Provide reports on participation and progress in programmes.</li> </ul>	<ul style="list-style-type: none"> <li>○ Offer insights into prisoner engagement in identified programmes;</li> <li>○ Provide feedback on progress and identify areas for improvement or outstanding needs.</li> </ul>
<b>Physical Training Instructors</b>	<ul style="list-style-type: none"> <li>• Provide updates as to interactions with peers and conformity with instructions.</li> </ul>	<ul style="list-style-type: none"> <li>○ Offer insights into prisoner's physical fitness and cooperation with instructors;</li> <li>○ Relationship with peers;</li> <li>○ Provide valuable feedback for assessing physical health</li> </ul>

		and potential fitness-related challenges that could be linked to physical well-being.
<b>Chaplaincy</b>	<ul style="list-style-type: none"> <li>• Can offer useful perspectives on the prisoner's mindset, behaviours, and engagement in areas such as bereavement and remorse.</li> </ul>	<ul style="list-style-type: none"> <li>○ Provide additional services linked to restorative justice;</li> <li>○ Offers participation with external social groups.</li> </ul>
<b>Prisoner's family</b>	<ul style="list-style-type: none"> <li>• Provide support to their loved one.</li> <li>• Gain understanding of their custodial journey.</li> <li>• Provide clarity on potential protective factors.</li> </ul>	<ul style="list-style-type: none"> <li>○ Following prisoner consent, an invitation to attend every case conference should be made.</li> </ul>

All staff have a role in encouraging positive prisoner behaviour and shared rehabilitative goals. Additionally, staff involved in a prisoner's case through Targeted ICM have a responsibility to provide periodic updates and reports on their progress, behaviour, and engagement with services/interventions. This multi-source feedback is crucial for maintaining comprehensive records and allowing the core ICM team to accurately assess the prisoner's rehabilitative journey.

The reporting frequency and format may vary based on the staff member's role and level of interaction with the prisoner. However, a general guideline is to provide updates at least quarterly to the ICM Co-ordinator, aligned with the schedule for updating PR2 records outlined in the [Updating PR2 Records](#) section. More frequent reporting is encouraged for significant developments.

This periodic reporting helps ensure the multi-disciplinary perspectives remain current, allowing for responsive case management, timely adjustments to Action Plans, and holistic progress monitoring towards reintegration readiness.

The ICM Co-ordinator will gather relevant insights from all staff from information provided by way of PR2 domains. This provides wider perspectives to enhance assessment accuracy, case planning, and service co-ordination.

## 9.0 Recording Keeping Requirements

Effective record keeping is essential for Targeted ICM. Maintaining accurate, comprehensive and up-to-date records is vital for continuity in ICM across providers, stages of sentence, and transition to community. It also enables oversight and continual improvement. Key requirements are:

- ◆ Action Plans - maintain the comprehensive Action Plan developed through initial and ongoing case conferences, including regular updates.
- ◆ Risk assessments - concluded using the [FRAME model](#)<sup>◇</sup> must be comprehensively documented.

<sup>◇</sup>Framework for Risk Assessment, Management and Evaluation (RMA). Available [here](#)

- ◆ Case conference notes - detailed minutes recording attendees, information shared, rationale for decisions, actions arising and next steps should be taken and distributed after each conference.
- ◆ Intervention Records - participation and progress in identified interventions should be documented.
- ◆ Case Conference Outcomes - accurately record outcomes, changes, and actions agreed during case conferences.
- ◆ Release Plans - must be comprehensively documented.

### Updating PR2 Records

To ensure PR2 remains an accurate and comprehensive source of information to inform case management decisions, it is recommended that all relevant records outlined above are updated on PR2 on a **quarterly basis**, at minimum. This includes uploading the latest Action Plans, risk assessments, case conference minutes, intervention progress reports, and any changes to release plans. A **quarterly update** cycle allows for timely inclusion of new information while avoiding excessive administrative burden. However, for significant developments or events requiring immediate documentation, updates should be made promptly to PR2.

By suggesting a **quarterly update** frequency while allowing flexibility for more frequent updates when warranted, this ensures PR2 contains the latest relevant details to facilitate effective information sharing and collaborative case management across the multi-disciplinary team.

### Core members

All core members should be in attendance at all case conferences. However, in keeping with the targeted approach, there may be instances where a core member's attendance may not be required based on professional judgement and the prisoner's specific circumstances, as noted in the [PBSW/CBSW](#) section. In such cases, the non-attendance should be explicitly noted in the ICM minutes, along with a clear rationale for why their input was not deemed necessary for that particular case conference.

### Further Information

The SPS recognises that from time to time employees may have questions or concerns relating to this policy. In certain situations employees' rights and obligations regarding this document may change. In these circumstances the SPS will abide by any statutory obligations.

The SPS wishes to encourage open discussion with employees to ensure that questions and problems can be resolved as quickly as possible. Employees are encouraged to seek clarification on any issues with the appropriate line manager in the first instance.

### Sustainability

Improving our environmental performance and doing things in a more sustainable way should be seen as integral to our core business practices.

In line with the SPS Sustainable Policy and to demonstrate compliance with the Scottish Government's commitment to improving environmental and sustainable development performance, please be mindful if printing this document – keeping paper usage to a minimum (print only version), printing on both sides, and recycling.

### Policy and Guidance in SPS

SPS policies take into account current legislation, rules, regulations and best practice guidance from a range of professional and public bodies, including the following:



UK Civil Service Management Code



UK Legislation



ACAS



CIPD Best Practice