

**Derbyshire Probation Trust**

**Business Plan  
2010/11**

## Foreword by Chief Executive and Acting Trust Chair

Derbyshire Probation operates with Trust status with effect from 1 April 2010 following its sustained high performance in recent years, an exhausting submission and interview process and evidence of achievement and ambitious plans for the future. We celebrated our Trust launch with an event involving partners, offenders and staff on 23 March 2010 at Pride Park in Derby. We have realigned our organisational structure for Local Delivery units with the Local Authorities and Local Area Agreements and aligned not just geographically but also in terms of focus with the Community Safety Partnerships with whom we have become statutory partners.

Our Trust Board membership becomes a smaller, more strategic group focussed on business and service delivery. The challenge for all public sector organisations in 2010/11 and beyond is a straightened financial climate requiring significant efficiency savings. As a Trust we demonstrated our financial viability planning and this Business Plan for 2010/11 reflects the efficient and effective use of our resources with partners in making Derbyshire a safer place in which to live and work.

### **Our Vision**

To be an excellent organisation providing local probation services to the highest possible standard.

### **Our Mission**

To reduce re-offending and protect the public.

### **Our Strategy**

We will protect the public through the delivery of excellent offender management practice, reformative interventions and victim services.

### **Our Priorities**

To deliver our strategy we will focus on the following priorities and work with the Director of Offender Management to ensure the focus of our contract is aligned with our priorities:

- To be a recognised national leader – we will strive for excellence.
- To protect the public and reduce re-offending – by effective service delivery.
- To be a leaner, more efficient organisation – by delivering value for money.
- To be an employer of choice with a trained and motivated workforce – by building organisational capacity and developing the potential of all our staff.
- To be innovative in commissioning new services and developing our work with stakeholders – by maximising partnership and commissioning opportunities.

## **Achievements 2009/10**

As previously indicated Derbyshire has achieved and maintained the highest Green Star performance rating in the Integrated Probation Performance Framework and in reducing re-offending. In January 2010 the Area was successfully reassessed for accreditation under the Investors in People standard, which we have held since 1997, and is testimony to our training, development and commitment of our staff.

We have successfully achieved additional income/secured development of services for offenders:

£49,000	From Director of Offender Management	To fund staff and training to combat extremism
£5,000	From Director of Offender Management	To fund adoption of Children Act
£16,000	From Director of Offender Management	To fund ETE provision
£27,000	From Director of Offender Management	To fund VISOR administration
£20,000	From Director of Offender Management	To fund Bail Accommodation and support services
£10,000	From Director of Offender Management	To fund Women's Safety Work
£14,000	From Director of Offender Management	To fund resettlement work with offenders released from prison after serving sentences of less than 12 months
£320,000	From regional ESF bid	To fund ETE provision (until March 2011)
£109,000 £110,000	Derby City Supporting People Derbyshire County Supporting People	To fund the Arbor Project, a supported accommodation scheme for high risk of harm offenders.
£200,000	Derbyshire Primary Care Trust	To fund nursing posts to provide generic health screening and sign posting to services.
£155,000	Derbyshire Primary Care Trust	To fund expansion of the Criminal Justice Interventions Team (Mental Health).
£75,000	Derbyshire County Supporting People	To fund additional supported accommodation for PPO's and other offenders.
£35,000	Derby City Council	To fund PSO accommodation post co-located in Single Point of Entry Service.

## **Trust Status and Readiness**

Our bid to become a Trust was subject to detailed scrutiny and interview by NOMS nationally. Our high operational performance was backed up by evidence across four major themes:

1. Local Accountability and Engagement
2. Organisational Performance
3. Financial Governance
4. Organisation Development

In the last few months immediately preceding April 2010 in preparation for actual operation as a Trust we followed a rigorous process of:

- Communicating with partners, staff and offenders.
- Reviewing our corporate governance arrangements, including new Board Chair membership and procedural rules.
- Reviewing and re-branding all our policy documents.
- Dealing with all the contractual and financial implications including new VAT registration, pensions notifications, etc.

### **Resource Allocation 2009/10**

The national resource allocation to Derbyshire was notified under cover of a letter dated 26 January 2010. It included a share of an additional £26m nationally; through a bid process to the regional Director of Offender Management Derbyshire was allocated an additional £563,000. The biggest slice of the money is to extend the existing Intensive Alternative to Custody pilot scheme from October 2010 to March 2011.

Derbyshire Probation Trust – 2010/11 Target Setting  
Performance Targets and Projections for 2009/10

<b>REDUCE REOFFENDING</b>				
Ref No	Description	2010/11 Target	2009/10 Projected	2010/11 Provisional
OM21	Reduce reoffending in Derbyshire	-9.2%	2.8%	-9.2%
LAA	Reduce reoffending in Derby City LAA	-11.1%	-2.7%	-11.1%
LAA	Reduce reoffending in Derbyshire County LAA	-8.2%	4.2%	-8.2%

<b>PUBLIC PROTECTION</b>				
Ref No	Description	2009/10 Target	2009/10 Projected	2010/11 Provisional
IPPF01	NS Public Protection	90%	98%	90%
OM15	Parole Assessment Report Timeliness	90%	100%	90%
IPPF13	Approved Premises Audit	28	30	
OM04	Licence Recall Requests	90%	98%	90%
OM08	Tier 2 & 3 OASys Timeliness	90%	94%	90%
OM35	PPO & Tier 4 OASys Timeliness	90%	92%	90%
OM14	OMIC Phase 2 & 3 OASys Timeliness	90%	98%	90%
<b>Management Information &amp; Priority Development Indicators (PDI)</b>				
OM26	OASys Quality (PDI)	n/a	n/a	tbd
OM27	Generic Parole Process (PDI)	n/a	n/a	80%

<b>OFFENDER MANAGEMENT</b>				
Ref No	Description	2009/10 Target	2009/10 Projected	2010/11 Provisional
IPPF03	NS Offender Management	90%	92%	90%
OM20	Orders or Licences Successfully Completed	72%	76%	73%
OM39	OASys Final Reviews (PPO & Tier 2, 3, 4)	90%	95%	90%
OM17	Accommodation at Termination	78%	87%	80%
OM03	End to End Enforcement	65%	78%	68%
OM33	£40m Plan Performance (Influencing Demand)	n/a		tbd
OM01	Court Report Timeliness (excl. RIC)	90%	100%	90%
OM05	Enforcement	90%	98%	90%
OM07	Victim Contact	90%	100%	90%

<b>Management Information &amp; Priority Development Indicators (PDI)</b>				
OM32	Victim Feedback (PDI)	n/a	75%	85%
OM28	Sentence Delivery (PDI)	n/a	n/a	tbd
OM29	Offender Feedback (PDI)	n/a	n/a	tbd
OM30	Needs Met	n/a	n/a	tbd

<b>INTERVENTIONS</b>				
Ref No	Description	2009/10 Target	2009/10 Projected	2010/11 Provisional
IPPF02	NS Interventions	90%	88%	90%
INT01	Sex Offender Programme - Completion No.	21	18	27
INT13	Sex Offender Programme - Completion Rate	78%	79%	78%
INT02	Domestic Violence Programme - Completion No.	42	54	54
INT14	Domestic Violence Programme - Completion Rate	75%	75%	70%
INT03	General Offending Programmes - Completion No.	226	228	170
INT15	General Offending Programmes - Completion Rate	67%	70%	70%
INT04	General Offending Programmes - Relevant Starts	80%	86%	85%
INT07	ATR - Completion No.	70	162	135
INT16	ATR - Completion Rate	50%	72%	71%
INT06	DRR - Completion No.	92	128	92
INT17	DRR - Completion Rate	38%	54%	50%
INT05	UPW - Completion No.	829	1504.5	1100
INT18	UPW - Completion Rate	73%	78%	75%
INT11	UPW Stand-downs	2%	0.3%	1%
INT08	Sustained Employment	200	257	200
INT09	Employment at Termination	42%	44%	40%

<b>Management Information &amp; Priority Development Indicators (PDI)</b>				
OM18	PPO Drug Testing Condition	90%	100%	90%
INT22	Eligible programme referrals (PDI)	n/a	n/a	tbd
INT21	Eligible programme completions (PDI)	n/a	n/a	tbd
OM19	Education Provider Referrals	850	828	820
INT19	Education Provider Starts	n/a	656	591
INT20	Educational Award Achievement Rate	n/a	47%	10%
INT12	DRR - Starts	240	206	184

<b>OPERATIONAL CAPABILITY, RESOURCE USE &amp; STRATEGY</b>				
Ref No	Description	2009/10 Target	2009/10 Projected	2010/11 Provisional
IPPF08	Sickness Absence	10.5	7.98	10.5
IPPF10	Budget Outturn	100%	100%	100%
IPPF11	Audit Commission Results	4	n/a	tbd

<b>Management Information &amp; Priority Development Indicators (PDI)</b>				
IPPF14	Staff Diversity (PDI)	8.3%	10.6%	8.30%
OM34	Female Offenders (PDI)	n/a	n/a	tbd
IPPF17	Best Value (PDI)	n/a	n/a	tbd
IPPF16	Community Feedback (PDI)	n/a	n/a	tbd
INT23	Programme Sessions (PDI)	n/a	n/a	tbd

## Service Delivery Levels

Workload and service delivery levels continue to change as we move resources to follow risk and reprioritise our use of resources. The attached table breaks down the aspects of workload and gives indicative figures for the different aspects of workload within a range of +/- 5% of the 2009/10 figures.

Service Delivery	2009/10 Qtr 4 projected	2010/11 Projection	
		-5%	5%
Court Reports	4459	4236	4682
Standard Delivery	2412	2291	2533
PSA	349	332	366
Fast Delivery	1317	1251	1383
Oral	381	362	400
Commencements	4508	4283	4733
Caseload	4191	3981	4401
Tier 1 – Low Risk	544	517	571
Tier 2	1154	1096	1212
Tier 3	1671	1587	1755
Tier 4 – High Risk	804	764	844
Supervision Commencements	1843	1751	1935
Starts in Custody	844	802	886
Licence Commencements	754	716	792
Breaches Initiated	1880	1786	1974
Community Payback Commencements	2300	2185	2415
Community Payback Hours			
Ordered	236212	224401	248023
Worked	193737	184050	203424
Alcohol Treatment Requirement Commencements	215	204	226
Skills for Life Referrals	821	780	862
Number of Victims	289	275	303
MAPPA Caseload **	1007	957	1057
Level 1	487	463	511
Level 2	71	67	75
Level 3	9	9	9
Nominal	440	418	462

\*\* Please note that during 2008/09 there was a change to the way in which MAPPA cases are recorded; MAPPA Level 2 & 3 cases in custody are now recorded as MAPPA nominals, in line with ViSOR implementation guidance. Comparisons are therefore unavailable.

### Achieving a Balance between Workload and Demand

A key factor influencing demand for probation services is the recorded level of crime in an area, which has shown an encouraging reduction based on the three month averages in the table below, in particular acquisitive crime. This may be linked to the discretionary charging initiative that has now been in place in Derbyshire since April 2009. Robbery and violence have shown slight increases over the two periods, but the small numbers for Robbery must be borne in mind when drawing any conclusions. Overall recorded crime is down by 11.3%.

Crime Type	Average: Nov 08 – Jan 09	Average: Nov 09 – Jan 10	% Change
All Crime	5860.3	5196	-11.3%
Burglary	847.7	689.7	-18.6%
Robbery	65	68.3	+5.1%

Vehicle Crime	760.3	540.3	-28.9%
Violence	1087.7	1133.3	+4.2%
Anti-social behaviour	4990.7	4763.3	-4.6%

Source: <http://maps.police.uk/view/derbyshire>

## Resources

National Probation Service - Derbyshire			
Provisional Whole Service Budget 2010/11			
	Budget	Provisional	
	2009/10	Budget	
	£	2010/11	
	£	£	
<b>Staffing Costs</b>			
Salaries/NI/Superann	12,271,139	11,589,144	Includes Chief Officer recharge
Travel	375,000	399,000	
Indirect Staff Costs	75,500	76,500	Includes Training, Recruitment Advertising and Removal Expenses
<b>Central (NOMS) Recharges</b>			
Buildings	1,188,058	1,141,479	
Information Technology	265,000	490,991	2010/11 includes £150k deducted from grant in previous years
Other	34,000	33,000	Internal Audit and Insurance
<b>Other Spending</b>			
Partnerships and Contributions	430,000	371,000	
Payments to Offenders	157,500	169,000	
Rents and Utilities	17,200	23,200	
CP Vehicles	69,500	75,100	Includes vehicle insurance recharge
Office Supplies and Equipment	134,000	134,000	
Communications	113,000	123,000	
Professional Fees and Subscriptions	409,200	398,300	Includes solicitors, Treasurer, PBA, interpreters
Depreciation and Cost of Capital	132,000	100,000	
Members Expenses	50,000	40,000	
Other	6,000	18,000	Inc REACH ESF non staff costs
<b>Total Spending</b>	<b>15,727,097</b>	<b>15,181,714</b>	
<b>Funding</b>			
Resource Allocation	-13,494,000	-14,057,000	2010/11 includes share of £26m (£563k)
Budget Cuts	0	1,115,000	
Performance Bonus	-49,000	0	
Brought Forward From 2008/09	-303,000	-303,000	
IT Recharge Reduction	150,000	150,000	Added to NOMS IT Recharge above
Trainee Probation officers grant	-271,000	-93,000	
Other Grant Income	-27,000	-54,000	
IAC Funding	-548,000	-274,000	
Secondment Income	-1,080,760	-1,068,000	
Income/Charges	-370,110	-393,894	Includes MAPPP, Basic Skills, Drugs, Persistent Offender, Hostel Rent, ESF (2010/11 only)
<b>Total Funding</b>	<b>-15,992,870</b>	<b>-14,977,894</b>	
<b>Potential Surplus (-)/Deficit</b>	<b>-265,773</b>	<b>203,820</b>	Provision for re-structuring

## **Staffing Numbers**

	<b><u>wef 01/04/10</u></b>
Local Delivery Unit (City)	81.8
Local Delivery Unit (County)	97.6
Business Services	25.0
Interventions	71.0
Hostel	13.0
MAPPA	5.6
Prisons	10.9
Intensive Alternative to Custody	9.6
Others	26.4

## **Service Delivery Bases**

Headquarters, Matlock Bath  
Alfreton  
Burdett Lodge  
Siddals Road and Willow Row, Derby  
Derby Crown Court  
Southern Derbyshire Magistrates Court, Derby  
Ilkeston  
Matlock  
Buxton  
Glossop  
Brimington Road Chesterfield  
Chesterfield Magistrates Court  
HMP Sudbury  
HMP Foston Hall  
Bayheath House, Chesterfield

## National Objectives

Ministry of Justice	Derbyshire Probation Trust
<p>The Ministry of Justice sets out the overall outcomes by which the overall effectiveness of the delivery of adult offender management services will be assessed and for what the National Offender Management Service (NOMS) will be held to account for delivering at the national level. NOMS operates through providers and partners in the public, private and third sectors to manage offenders in an integrated way. Its work protects victims, reduces reoffending and makes communities safer.</p> <p><u>Ministry of Justice Statement of Purpose:</u> We work to protect the public and reduce re-offending by delivering the punishment and orders of the courts and by helping offenders to reform their lives.</p> <p><u>Ministry of Justice Vision:</u> As part of the wider justice service we will give the public confidence in our ability to protect the public and reduce re-offending.</p> <p><u>Ministry of Justice Values:</u> In delivering prison and probation services, we will:</p> <ul style="list-style-type: none"> <li>• Be objective and take full account of public protection when assessing risk;</li> <li>• Be open, honest and transparent;</li> <li>• Incorporate equality and diversity in all we do;</li> <li>• Value and empower staff, and work collaboratively with others;</li> <li>• Treat offenders with decency and respect;</li> <li>• Embrace change and innovation;</li> <li>• Use our resources in the most cost effective way.</li> </ul>	<p><u>Derbyshire Probation Trust Mission:</u> To reduce re-offending and protect the public.</p> <p><u>Derbyshire Probation Trust Vision:</u> To be an excellent organisation providing local probation services to the highest possible standard.</p> <p><u>Derbyshire Probation Trust Values:</u> Our core values demonstrate how we will achieve our aims by:</p> <ul style="list-style-type: none"> <li>• <b>Accountability</b> We accept full responsibility for our actions, decisions and behaviours and we expect others to do the same;</li> <li>• <b>Flexibility</b> We adapt to meet our stakeholders' changing needs, and constantly seek to improve by learning from experience and looking for new ideas;</li> <li>• <b>Openness</b> We are transparent and inclusive in the planning and delivery of our services;</li> <li>• <b>Integrity</b> We take pride in delivering high quality services to the highest standard of business ethics;</li> <li>• <b>Diversity</b> We celebrate and recognise cultural diversity in the way we delivery our services;</li> <li>• <b>Respect</b> We welcome differing views and recognise everyone's right to their own opinions;</li> <li>• <b>Working with Others</b> We build co-operative, reciprocal, sustainable relationships with all our staff, partners and other stakeholders.</li> </ul>
Ministry of Justice Priorities	Derbyshire Probation Trust Priorities
<ul style="list-style-type: none"> <li>• Significant reductions in serious and volume re-offending between 2000-2006 at least maintained or improved.</li> <li>• The public and victims understand and have more confidence in the way we deliver.</li> </ul>	<p>To deliver our strategy we will focus on the following priorities and work with the Director of Offender Management to ensure the focus of our contract is aligned with our priorities:</p> <ul style="list-style-type: none"> <li>• To be a recognised national leader – we will strive for excellence.</li> </ul>

<ul style="list-style-type: none"> <li>• Adult offenders in accommodation and employment at least maintained or increased.</li> <li>• Reduced the harm caused by drugs and alcohol.</li> <li>• Stronger strategic agreements will be in place across government as a result of the next generation of public service agreements.</li> <li>• Local outcome measure for volume re-offending will be in place for all offenders and driving performance.</li> <li>• System integrity will continue to be maintained alongside low levels of escapes, suicides and serious further offences.</li> <li>• Some effective measures of Value for Money will be in place and being used.</li> </ul>	<ul style="list-style-type: none"> <li>• To protect the public and reduce re-offending – by effective service delivery.</li> <li>• To be a leaner more efficient organisation – by delivering value for money.</li> <li>• To be an employer of choice with a trained and motivated workforce – by building organisational capacity and developing the potential of all our staff.</li> <li>• To be innovative in commissioning new services and developing our work with stakeholders – by maximising partnership and commissioning opportunities.</li> </ul>
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# Business Plan 2010/11

## 1. STRIVING FOR EXCELLENCE

Objectives	Outcomes	Owner	Timetable
<b>1.1 REMAIN A TOP PERFORMING AREA</b>			
Meet all operational performance targets in the Integrated Probation Performance Framework (IPPF)	Green Performance	Directors of Probation City and County Director of Interventions Director of Business Services	Q1
<b>1.2 EMPOWER OUR STAFF TO DELIVER QUALITY SERVICES</b>			
Extend the Intensive Alternative to Custody (IAC) pilot to 31 March 2011.	Deliver I.A.C. as a credible high end community penalty / alternative to custody commencement	Director of Interventions	Q1
Contribute to the development of Nottingham Prison as a Community Prison	Nottingham Prison established as a Community Prison meeting the needs of Derbyshire offenders	Director of Probation City	Q1
To ensure continuity of services and individual career progression	Effective succession planning to deploy their skills to greater affect.	Director of Business Services	Q1
Quality assurance to be embedded as a core activity.	Delivering services right first time.	Director of Probation City and County Director of Interventions Director of Business Services	Q1
Development of a Communication Consultation and Community Engagement Strategy with effective communication channels.	Improved customer satisfaction, staff engagement and partner support.	Director of Business Services	Q1
<b>1.3 GAIN 4* EXCELLENCE AWARD (R4E)</b>			
To achieve Recognised for Excellence 4* in an external assessment by the British Quality	4 Star excellence status from the BQF	Director of Business Services	Q4

Foundation (BQF)			
<b>1.4 GAIN RE-ACCREDITATION OF CUSTOMER SERVICE EXCELLENCE STANDARD (CHARTERMARK)</b>			
To achieve re-accreditation of Customer Service Excellence Standard	Being recognised for Customer Service Excellence	Director of Business Services	Q1
<b>1.5 DEVELOP OUR PROJECT MANAGEMENT APPROACH</b>			
Develop project management.	Delivery of the Strategic aims by working with staff and partners using effective project management	Director of Business Services	Q1
<b>1.6 DEMONSTRATE EXCELLENCE IN AUDIT AND INSPECTION</b>			
Achieve the 'Amber/Green' rating in area Audits	At least 'Adequately Controlled' in 100% of all area Audits	Director of Business Services	Q4
Achieve excellence in the Her Majesty's Inspector of Probation (HMIP) Inspection	Excellence in the HMIP Inspection	Director of Probation City and County Director of Business Services	Q3
<b>1.7 DEVELOP OUR APPROACH TO KNOWLEDGE MANAGEMENT</b>			
Development of knowledge management	Knowledge will be accessible for all Staff	Director of Business Services	Q2

## 2. EFFECTIVE SERVICE DELIVERY

Objectives	Outcomes	Owner	Timetable
<b>2.1 DELIVER THE TARGETS FOR REDUCING RE-OFFENDING AND PUBLIC CONFIDENCE ALIGNED TO THE LOCAL AREA AGREEMENT</b>			
Implement a Partnership Strategy	Working effectively with partners to reduce re-offending	Directors of Probation City and County	Q1
Implement Reducing Re-offending Plans for the County and City	Effective multi-agency reducing re-offending plans agreed through Community Safety Boards, Local Area Agreements and Criminal Justice Board	Directors of Probation City and County	Q3 (City) Q1 (County)

To Improve public confidence	Improved confidence levels in British Crime Survey	Directors of Probation City and County Director of Interventions Director of Business Services	Q3
<b>2.2 CREATE AND EMPOWER LOCAL DELIVERY UNITS ALLIED TO COUNTY AND CITY LOCAL AREA AGREEMENTS (LAAs)</b>			
Development of a Balanced Scorecard reporting framework for LDU's, Interventions and Business Services Incorporating financial, HR and diversity targets	Sustained top band (Green Star) performance	Directors of Probation City and County Director of Interventions Director of Business Services	Q1
Implement a change management programme to embed the Offender Management LDU's structure with defined responsibilities for partnership.	The LDU empowerment to engage with relevant local partners to meet offender needs.	Directors of Probation City and County	Q1
<b>2.3 DEVELOP OUR INTERVENTIONS AS BUSINESS UNITS</b>			
Development of commercial acumen in Interventions Units	Interventions empowered to use financial information and process improvement and performance management approaches.	Director of Interventions	Q3
<b>2.4 DELIVER A LEANER MORE EFFECTIVE AND EFFICIENT OPERATION</b>			
Encouraging feedback and innovation in systems and processes	Improved staff engagement	Directors of Probation City and County Director of Interventions Director of Business Services	Q2
Implement nationally approved measures from the Specification Benchmarking and Costing and LEAN (efficiency / effectiveness) Programmes	Services designed to meet the SBC expectations in respect of specification and cost/price.	Directors of Probation City and County  Director of Interventions	Q1 – Q4 depending on availability of national specifications
Implement 'New Direction' Programme supervision of Tier 2 offenders	Leaner use of Probation Service Officer resource by managing Tier 2 offenders in groups	Director of Probation County (City achieved)	Q2

	Increased compliance for Tier 2 offenders		
<b>2.5 DEVELOP ROBUST GOVERNANCE ARRANGEMENTS</b>			
To ensure that Corporate Governance Arrangements are in place and operating effectively within the LDU and Interventions	Organisation fit for purpose	Director of Business Services	Q2
<b>2.6 MAXIMISE OPPORTUNITIES FOR INNOVATION</b>			
Improved communication within LDU structures and Interventions to promote innovation	Increased staff engagement. Improved problem solving	Directors of Probation City and County	County and City Q1
Implement a reward and recognition scheme	Increased innovation	Director of Business Services	Q1
To evaluate and develop offender mentoring within the REACH and IAC projects	Improved offender compliance and complement Probation Supervision. Increase offender social inclusion	Director of Interventions	Q3
<b>2.7 ENSURE ROBUST DATA MANAGEMENT POLICIES ARE IN PLACE TO COMPLY WITH DATA PROTECTION LEGISLATION AND ENSURE THE SECURITY OF OUR DATA</b>			
Protect the organisation's data through the effective implementation of national and local information security policies	At least the 'adequately controlled' rating in Information Security Audits	Director of Business Services	Q1
	Respond to Data Subject Access Requests and Freedom of Information Requests within appropriate (legal) timescales	Director of Business Services	Q1

### 3. DELIVERING VALUE FOR MONEY

Objectives	Outcomes	Owner	Timetable
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<b>3.1 ACHIEVE BUDGET AND WORKLOAD REDUCTION</b>			
Financial integrity.	Balanced budgets in 2010/11 and adequate preparation for 2011/12 and beyond.	Director of Business Services	Q1
Develop process management in order to maximise efficiency	Leaner structures realising savings	Directors of Probation City and County	Q4
<b>3.2 EXPLORE ALL OPPORTUNITIES FOR REGIONAL AND OUTSOURCED COMMISSIONING</b>			
Generate collaboration activity within East Midlands Region and across neighbouring areas outside region	Efficient and Effective delivery of Services	Director of Business Services	Q3
<b>3.3 DELIVER BEST VALUE AND LEAN PRINCIPLES</b>			
Implement the national and local Best Value Framework and reviews	Delivering Value for Money Services in line with the Medium Term Finance Strategy	Directors and Probation City and County Director of Interventions Director of Business Services	Q3
Implement LEAN principles	LEAN is integrated into the culture of Derbyshire Probation	Directors of Probation City and County Director of Interventions Director of Business Services	Q4
<b>3.4 PROMOTE THE APPROPRIATE USE OF ORDERS AND REQUIREMENTS TO REDUCE RE-OFFENDING</b>			
Implement the review of service delivery arrangements in Courts. Provide appropriate staffing levels and information to sentencing courts	Deployment of appropriate resources	Directors of Probation City and County	Q2
Implement Demand Management	Effective use of resources	Director of Probation City and County	Q1 – Q4
<b>3.5 IMPLEMENT OUR INCOME GENERATION STRATEGY</b>			
Identify opportunities for generating income	Generate income	Director of Business Services	Q3
Income generation in line with financial plan	Achievement of challenging financial goals and sharing existing good	Director of Business Services	Q4

	practice.		
<b>3.6 RATIONALISE OUR OFFICE PROVISION TO REFLECT THE NEEDS OF DERBYSHIRE PROBATION</b>			
Review provision of all offices in order to streamline provision in line with the medium term financial strategy	Improved office bases providing a range of efficient services for offenders, staff and partners, including the co-location of offices where possible	Director of Business Services	Q4
<b>3.7 PROVIDE OUR BUSINESS SERVICES THROUGH A MIX OF COLLABORATIVE OUTSOURCED AND IN HOUSE PROVISION</b>			
Maximise use of resources and deliver efficiency	Devolved business services delivered via a mixture of provision	Director of Business Services	Q2

## 4. BUILDING ORGANISATION CAPACITY DEVELOPING OUR STAFF

Objectives	Outcomes	Owner	Timetable Key Milestones
<b>4.1 MAXIMISE THE POTENTIAL OF ALL STAFF IN ORDER TO CREATE OUR FUTURE LEADERS</b>			
Implement a leadership/management development programme based on behaviours and expectations	Organisation development plan Implemented	Director of Business Services	Q2
<b>4.2 DEVELOP THE BOARD TO OPERATE EFFECTIVELY AS A TRUST BOARD</b>			
To ensure that the Trust Board arrangements are effectively in place	Robust Governance in place with challenging and effective Board members	Director of Business Services	Q2
<b>4.3 GAIN RE-ACCREDITATION OF INVESTORS IN PEOPLE</b>			
Successfully review accreditation of liP	liP maintained	Director of Business Services	Q1
Successfully achieve the Quality Matrix Standard in Provision of Employment, Training and	Quality Matrix is maintained	Director of Interventions	Q2

Education Information and Guidance to Offenders			
<b>4.4 IMPLEMENT THE NEW QUALIFYING FRAMEWORK FOR PROBATION PRACTITIONERS</b>			
Implement the new Qualifying Framework for Probation	Framework Implemented	Director of Business Services	Q3
<b>4.5 ENHANCE OUR APPROACH TO DIVERSITY</b>			
Implement the Single Equality Scheme	An Integrated approach to equality	Director of Business Services	Q1
<b>4.6 DEVELOP AN AWARENESS OF COST THROUGHOUT THE ORGANISATION</b>			
Embed the awareness of cost	Empowerment of managers to make effective financial decisions	Director of Business Services	Q2

## 5. MAXIMISING PARTNERSHIPS AND COMMISSIONING OPPORTUNITIES

Objectives	Outcomes	Owner	Timetable Key Milestones
<b>5.1 RE- ALIGN OUR REPRESENTATION ON ALL PARTNERSHIP AND COMMISSIONING BODIES TO REFLECT THE PRIORITIES OF PROBATION THE LAA AND PARTNER AGENCIES</b>			
Re-align our representation on all key partnerships	Improved and evolving partnership arrangements aligned to local need	Director of Probation County (City achieved)  Director of Interventions	Q4 dependent on future of Partnership Manager post.
Development of relationships and Collaboration with existing and new partners	Expanded services for offenders	Directors of Probation City and County  Director of Interventions	County Q1 - Addaction - DAAS - Mental Health Trust - Nurse Screening City Q2 – Womens Work - Mental Health Trust - Nurse Screening
Explore the opportunity of Social Enterprises, Joint Partnerships, and Service Level Agreements etc.	New structures and innovation	Directors of Probation City and County  Director of Interventions	Q4
<b>5.2 WORK IN PARTNERSHIP WITH SENTENCERS TO ENSURE THAT THEY HAVE THE BEST POSSIBLE</b>			

<b>INFORMATION ON WHICH TO MAKE SENTENCING DECISIONS</b>			
Work with sentencers to make the most effective use of community orders, providing cost and effectiveness information on interventions recommended	Effective use of resources to reduce re- offending	Directors of Probation City and County	Q1
<b>5.3 DEVELOP OUR JOINT APPROACHES TO THE CHALLENGES FROM GANGS AND VIOLENT EXTREMISM, ALCOHOL, DRUGS AND DOMESTIC ABUSE AS PART OF OUR COMMITMENT TO THE LOCAL AREA AGREEMENT</b>			
Develop a co-ordinated approach to managing gang related offenders	Working alongside partners to monitor, manage and counter gang related violence.  Shared information  Developed knowledge and expertise	Director of Probation City	Q1
Develop a co-ordinated approach to managing violent extremists	Working alongside partners to monitor, manage and intervene with violent extremists related violence.  Shared information  Developed knowledge and expertise	Director of Probation City	Q1
Implement the findings of the Best Value review of Victims and Unpaid Work	Value for money services	Director of Interventions  Action Plan	Q1  Q1
Implement revised targetting strategy for Alcohol Treatment Requirement and other alcohol interventions	Improvements in capacity and quality of services	Directors of Probation City and County	County Q1 City Q3
<b>5.4 PROTECT THE PUBLIC THROUGH EFFECTIVE OFFENDER MANAGEMENT MULTI AGENCY PUBLIC PROTECTION ARRANGEMENTS (MAPPA) AND SAFEGUARDING ARRANGEMENTS</b>			

Multi Agency Public Protection Arrangements Business Plan in place	Business plan agreed Strategic Management Board Business Plan objectives achieved	Director of Probation County	Q1
Implement polygraph testing pilot for sex offenders in partnership with the Public Protection Unit and the testing contractors	Protecting the Public through effective Offender Management and Multi Agency Public Protection Arrangements	Director of Probation County	Q1 – Q4
Develop and implement Protecting Vulnerable Adult Procedures	Relevant staff aware of responsibilities and able to refer	Directors of Probation City and County	Q1
Implement revised essential (Safeguarding Children) training requirements	Relevant staff equipped	Director of Probation County	Q1 – Q4
<b>5.5 USE OUR COMMUNITY PAYBACK PROVISION TO MEET THE NEEDS OF LOCAL COMMUNITIES AND ASSIST IN CRIME PREVENTION WHEREVER POSSIBLE</b>			
Develop our community payback provision in the BME community and to meet local needs	Improved visibility and confidence in community sentences, including the compulsory wearing of high visibility vests by offenders on unpaid work detail	Director of Interventions	Q3
<b>5.6 DEVELOP MORE EFFECTIVELY PROCESSES TO MEET THE NEEDS OF WOMEN OFFENDERS</b>			
Improve service delivery to women offenders	Improved community based interventions and resources which are responsible to women's needs leading to reduced reoffending	Directors of Probation City and County	Q2
<b>5.7 RESPOND TO THE POTENTIAL GROWTH IN CRIME CONSEQUENT ON THE ECONOMIC RECESSION BY WORKING WITH OUR PARTNERS TO ADDRESS ISSUES OF EMPLOYMENT, EDUCATION AND TRAINING</b>			
To address inequalities to employment and Education opportunities for offenders	Improved opportunities for offenders	Director of Interventions	Q1
<b>5.8 IMPLEMENT STAKEHOLDER SURVEYS AND IMPROVE SATISFACTION LEVELS BY RESPONDING TO THEIR FEEDBACK</b>			
Building on consultation and feedback in 2008/09 take action to	Improved satisfaction levels as defined in surveys in 2010	Directors of Probation City and County	Q1 – Q4

meet external stakeholders needs and expectations		Director of Interventions	
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# Risk Register

NATIONAL PROBATION SERVICE DERBYSHIRE - WHOLE AREA - RISK REGISTER 01/04/10 TO 31/03/11								Submitted to SMT	30/03/2010
								Submitted to Audit Committee	22/03/2010
				RISK					
Risk Ref No	Risk Description	Risk	What Success Looks Like	Apr-10	Change in Risk Rating	Comments and Proposed Actions over next quarter <i>(More detail required for BLACK and RED risks - see separate action plan to be completed)</i>	TREAT/ TOLERATE/ TRANSFER	Risk Owner	
<b>1. Key Risks 2010/11</b>									
1.1	HMIP Inspection gives poor rating.	Reputational	Good report.	12		Director level identified. Briefing meeting attended in March.	TREAT	Chief Executive	
1.2	New' accommodation in Chesterfield and Derby not sufficiently progressed	Operations	Capital approval given for replacement buildings and timetable in place.	12		Outline Business Cases - approved in principle. New site searches completed. Financial option appraisals being completed. Detailed Business Cases to be submitted to national Property Board in May 2010.	TRANSFER	Director of Business Services	
1.3	Area fails to meet national service Specifications and Benchmark Costs.	Financial	Specifications met and funding sufficient	9		Real costing exercise not required until 1 July 2010. Best Value reviews of CP and Victims completed by 31 March.	TREAT	Director of Business Services	
1.4	Costs for 2011/12 not reduced in 2010/11. NB: All other risk assessments based on managing this key risk (see also 1.8).	Reputational Financial	Balanced budgets 2010/11 and 2011/12	25		Depends on election and Government Comprehensive Spending Review. Indicative figures from February 2009 being used until further information available.	TREAT	Director of Business Services	
1.5	OASys, Data Centre and equipment refresh is disruptive	Reputational Performance	Business as usual.	12		Depends on national rollouts, project plans being put in place.	TOLERATE - TREAT	Director of Business Services	
1.6	Insufficient investment in leadership, change management, management development, commercial and business skills	£7.5k	Innovative leadership of LDUs, Interventions and Support Services	9		Coverage to be defined. Impacts on 1.4 above. Migration to national Data Centre November 2010. Equipment refresh June/July 2010.	TREAT	Director of Business Services	
1.7	PO Qualification Training not established.	Reputational Performance	2 year plan in place and being implemented.	12		Training Plan to be developed once national funding is known.	TOLERATE	Director of Business Services	
1.8	The balance between workload and staffing resources becomes unacceptable.	Performance	Reduction of workload. Performance maintained.	20		Action Plan developed to achieve balance. Staffing reductions as at 31/03/09 absorbed. Corporate management of budgets. Balance achieved without adverse impact on performance.	TREAT/ TOLERATE	Chief Executive	
1.9	Income from partners reduces below budgetted figure.	Financial	Income projections sustained.	9		Invoices issued early. Monthly track. Direct lobbying.	TREAT	Director of Business Services	
1.10	Integrated HR/Payroll/Training system implementation is disruptive.	Operational	No disruption to payroll. Integrated information available.	12		Assumes funding in 2010/11 and Steria acceptance. Implementation perhaps from July 2010.	TREAT	Director of Business Services	
1.11	Lose confidence of Courts.	Reputation	Confidence still high.	16		Ongoing liaison and communication.	TREAT	Chief Executive	
1.12	Reducing Re-offending and Performance levels decline.	Reputation	Performance measures met	12		Continual monitoring of performance figures. Lead Board member.	TREAT	Chief Executive	
<b>2 Key risks beyond 2010/11</b>									
2.1	Preparation/pilot for Delius in 11/12 is disruptive	Operations	Smooth transition	9		Decision of involvement in pilot yet to be made. May be delayed. Otherwise implementation with user acceptance testing from March 2011.	TREAT	Director of Business Services	
2.2	Implementation and reporting from new casework system. DELIUS in 2011/12.	Operations	Business as usual.	16		Place in national rollout schedule not yet known. User testing probably from March 2011.	TREAT	Director of Business Services	
2.3	OASys-R implementation is disruptive.	Operations	Business as usual.	20		National roll-out from April 2011 may be delayed with Delius UAT (2.2).	TREAT	Director of Business Services	
2.4	Move of financial application to national data centre is disruptive.	Operations	Business as usual.	9		Target date March 2012.	TREAT	Director of Business Services	

**SECTION 3 FOR AUDIT COMMITTEE ONLY**

<b>3 Residual business risks – i.e. considered to be under control and not imminently threatening achievement of the Trust's objectives.</b>							
3.1	Staffing levels and qualification/training not sufficient.	Operations	Appropriately qualified staffing numbers maintained at affordable levels.	8		Please refer to 1.6, 1.7, 1.8 above.	TOLERATE Director of Business Services
3.2	Serious Further Offences by offenders, generates major PR disaster.	Reputational	No major PR disaster.	12		SFO criteria relaxed. Continued vigilance on risk management.	TOLERATE All Directors and Operations Manager
3.3	Organisational non-compliance with regulations (e.g. FOI, DDA, H&S, Financial) and/or data loss causes bad PR.	Reputational	No major PR disaster.	8		No major changes looming. Ongoing training, briefings, audits.	TOLERATE Director of Business Services
3.4	IT failure	Operations	Business as usual.	12		Please refer to 1.5 above. Frequency and down time increasing - raised with Steria.	TOLERATE Director of Business Services
3.5	Building inaccessibility due to fire/flood.	Operations	Business as usual.	8		Residual risk worth retaining as reminder for contingency planning. Audits continuing. Contingency plans to be reviewed Oct - Dec.	TOLERATE All Directors

• **Likelihood Ratings:**

Likelihood	%	Criteria	Score
Very Low - (VL)	0 – 5%	Extremely unlikely to happen	1
Low - (L)	6 – 20%	Low but not impossible to occur	2
Medium - (M)	21 – 50%	Fairly likely to happen	3
High - (H)	51 – 80%	More likely to occur than not	4
Very High - (VH)	>80%	Almost certain to occur	5

• **Impact Ratings:**

Impact	Criteria	Score
Very Low - (VL)	Minimal loss, delay, inconvenience or interruption. Can be easily and quickly remedied	1
Low - (L)	Minor loss, delay, inconvenience or interruption. Short to medium term effect	2
Medium - (M)	Significant waste of time and resources. Impact on operational efficiency, output and quality. Medium term effect which may be expensive to recover	3
High - (H)	Major impact on costs and objectives. Serious impact on output and/or quality and reputation. Medium to long-term effect and expensive to recover.	4
Very High - (VH)	Critical impact on the achievement of objectives and overall performance. Huge impact on costs and/or reputation. Very difficult and possibly long-term to recover	5

**Organisation Chart**

**Derbyshire Probation Trust  
2010/11**

