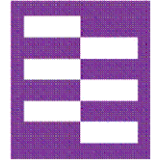


**Derbyshire**  
Probation Trust



# **Business Plan 2011/12**

## Business Improvement Plan 2009 / 2013

Building on work in 2008/2009, over the next 4 years following our values and strategies we will take action to fulfil our mission and  
Move much closer to achieving our vision as follows:-

### STRIVING FOR EXCELLENCE

#### 1.1 REMAIN A TOP PERFORMING AREA

Objectives	Outcomes	Owner
At least maintain Level 3 (of 4) green performance in the Probation Trust Rating Scheme	Band 3 performance	Chief Executive

## 1.2 EMPOWER OUR STAFF TO DELIVER QUALITY SERVICES

Objectives	Outcomes	Owner
Implement the intensive community order countywide	Sentencer confidence in the order  Meet targets for reductions in short term custody	Directors/Operations Managers
Implement revised National Standards	Establish implementation group Standards implemented Professional judgement extended Reduced performance monitoring	Director of Probation, County
To improve the added value of HR, Payroll and Training Services	Improved management information  Involvement of staff in managing personal data	Director of Business Services

To implement the national Probation Case Management System (DELIUS)	More efficient management of offender records	Directors of Probation, City Director of Business Services
To manage CEO appointment process	CEO appointed to start 1 January 2012	Board Secretary

### 1.3 GAIN 4\* EXCELLENCE AWARD (EFQM)

Objectives	Outcomes	Owner
To achieve Recognised for Excellence in an external assessment by the British Quality Foundation	External accreditation from the British Quality Foundation	Director of Business Services

### 1.4 MAINTAIN RE-ACCREDITATION OF CUSTOMER SERVICE EXCELLENCE STANDARD (R4E)

Objectives	Outcomes	Owner
To maintain re-accreditation of Customer Service Excellence Standard	Being recognised for continuing Customer Service Excellence	Director of Business Services

## 1.5 DEVELOP OUR PROJECT MANAGEMENT APPROACH

Objectives	Outcomes	Owner
Develop project management particularly around the Community Payback bid, the implementation of the integrated HR/Payroll/Training system/introduction of new national Standards and also of the new national offender case recording system.	Strategic aims delivered in structured way with managed risks	Director of Business Services

## 1.6 DEMONSTRATE EXCELLENCE IN AUDIT AND INSPECTION

Objectives	Outcomes	Owner
Achieve at least Amber/Green rating in all Audits	'Adequately Controlled' in 100% of all area Audits Achieve a 'pass' in the programmes Audit June 2010.	Director of Business Services Director of Interventions

## 1.7 DEVELOP OUR APPROACH TO KNOWLEDGE MANAGEMENT

<b>Objectives</b>	<b>Outcomes</b>	<b>Owner</b>
Re-develop the intranet as an accessible knowledge management tool	Knowledge will be more accessible for all staff Communications across the organisation improved	Director of Business Services

## EFFECTIVE SERVICE DELIVERY

### 2.1 DELIVER THE TARGETS FOR REDUCING RE-OFFENDING

Objectives	Outcomes	Owner
Implement Integrated Offender Management countywide	joint work with partners on higher risk of re-offending offenders	Director of Probation, County
Participate in the Seed pilot	Pilot established and staff trained Improved offender engagement	Director of Probation, County
Commission a mentoring provision to be delivered as part of Intensive Community Order	Mentoring delivery across Derbyshire by partnership agency Improved compliance	Director of Offender Management

## 2.2 DEVELOP OUR INTERVENTIONS AS BUSINESS UNITS

Objectives	Outcomes	Owner
Develop a Community Payback sub-contract bid for the national competition	A credible sub-contract	Director of Interventions
Decommission Drink Impaired Drivers Programme	Drink Impaired Drivers Programme decommissioned and offenders diverted to other interventions/programmes.	
End contract with NSPCC, recontract or bring in house [Sex offender treatment programmes]	Sex offender programmes delivery in house after smooth transition	
Develop and maximise income from Education Training and Employment contracts	Contracts met and maximum income realised	
Deliver Accredited Programmes on behalf of the Derbyshire prisons and maximise income	Contracts met and maximum income realised	

## 2.3 DELIVER A LEANER MORE EFFECTIVE AND EFFICIENT OPERATION

<b>Objectives</b>	<b>Outcomes</b>	<b>Owner</b>
Identify resource savings from the implementation of new National Standards	Resource savings re-deployed	Director of Probation, County
Introduce changes in tiering and identify impact	Supervision accords with new risk tiers	Director of Probation, City

## 2.4 MAXIMISE OPPORTUNITIES FOR INNOVATION

<b>Objectives</b>	<b>Outcomes</b>	<b>Owner</b>
To evaluate the scope for Social Enterprise pilots	Increased innovation and resources for service delivery Improved services for offenders	Chief Executive and SMT
Identify opportunities within payment by results initiatives across agencies, Department of Work and Pensions, Ministry of Justice, Drugs Services	Improved alignment of services for offenders	CEO and Directors of Probation and Interventions

## DELIVERING VALUE FOR MONEY

### 3.1 ACHIEVE BUDGET AND WORKLOAD REDUCTION

Objectives	Outcomes	Owner
To reduce costs	Balanced budget in 2011/12 and 2012/13	Director of Business Services
To develop the workload management tool	Balance between resources, workload and staffing	Director of Business Services - PIU

### 3.2 DELIVER BEST VALUE AND LEAN PRINCIPLES

Objectives	Outcomes	Owner
Review provision of the Drink Impaired Drivers Programme	Rationalised programme provision	Director of Interventions Director of Probation, City
Agree on future delivery of CSOGP	Efficient delivery	Director of Interventions

### 3.3 PROMOTE THE APPROPRIATE USE OF ORDERS AND REQUIREMENTS TO REDUCE RE-OFFENDING

Objectives	Outcomes	Owner
Ensure probation service resources are targeted appropriately	Effectiveness in management of resources and reduced re-offending Sentencer confidence in the effective use of probation resources	Directors of Probation, City and County

### 3.4 RATIONALISE OUR OFFICE PROVISION TO REFLECT THE NEEDS OF DERBYSHIRE PROBATION

Objectives	Outcomes	Owner
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

### 3.5 PROVIDE OUR BUSINESS SERVICES THROUGH A MIX OF COLLABORATIVE OUTSOURCED AND IN-HOUSE PROVISION

Objectives	Outcomes	Owner
Maximise use of resources and deliver efficiency	Devolved business services delivered via a mixture of provision	Director of Business Services

## BUILDING ORGANISATIONAL CAPACITY AND DEVELOPING OUR STAFF

### 4.1 DEVELOP THE BOARD TO OPERATE EFFECTIVELY AS A TRUST BOARD

Objectives	Outcomes	Owner
Review Board roles and structure to meet current strategic imperatives.	Board focussed on key issues for Derbyshire Probation Trust	Chair/Chief Exec/Board Secretary

### 4.2 GAIN RE-ACCREDITATION OF INVESTORS IN PEOPLE (IIP)

Objectives	Outcomes	Owner
To follow Investors in People approaches	Investors in People maintained	Director of Business Services

### 4.3 IMPLEMENT THE NEW QUALIFYING FRAMEWORK FOR PROBATION OFFICERS AND PROBATION SERVICE OFFICERS

Objectives	Outcomes	Owner
Increase the number of Probation Service Officers with VQ3	A trained and accredited workforce	Director of Business Services
Develop future Probation Officers	A flow of qualified Probation Officers is in place	Director of Business Services

#### 4.4 ENHANCE OUR APPROACH TO DIVERSITY

Objectives	Outcomes	Owner
Identify and address any unjustified disproportionality	An integrated approach to equality Roll out the Turnaround Project Disproportionality addressed	Director of Business Services Operations Managers

#### 4.5 DEVELOP AN AWARENESS OF COST THROUGHOUT THE ORGANISATION

Objectives	Outcomes	Owner
Complete and implement Specification, Benchmarking and Costing reviews	Specifications met Costs and variances identified	Director of Business Services Director of Probation, City and County Director of Interventions

## MAXIMISING PARTNERSHIPS AND COMMISSIONING OPPORTUNITIES

### 5.1 WORK IN PARTNERSHIP WITH SENTENCERS TO ENSURE THAT THEY HAVE THE BEST POSSIBLE INFORMATION ON WHICH TO MAKE SENTENCING DECISIONS

<b>Objectives</b>	<b>Outcomes</b>	<b>Owner</b>
Ensure sentencers are informed about community sentencing options and resource consequences	Appropriate use of community sentences Confidence in community sentences	Director of Probation, City and County Operational Managers

## 5.2 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

Objectives	Outcomes	Owner
Contribute to recommissioning of Drugs Services for offenders in County and City	Offender needs met by appropriate Criminal Justice interventions	Director of Probation, City and County
Maintain Derbyshire Probation Trust contribution to Multi Agency Gangs Team	Improved management of gang related offenders	Operational Manager, City
Review approach to Preventing Violent Extremism in line with emerging Government strategy	Multi-agency approach to Preventing Violent Extremism	Director of Probation, City and County

### 5.3 PROTECT THE PUBLIC THROUGH EFFECTIVE OFFENDER MANAGEMENT, MULTI AGENCY PUBLIC PROTECTION ARRANGEMENTS (MAPPA) AND INTERVENTIONS

Objectives	Outcomes	Owner
Multi Agency Public Protection Arrangements Business Plan in place	Business Plan agreed by Strategic Management Board Continuing multi-agency agreement	Director of Probation, County
Implement revised essential Safeguarding Children training requirements	Relevant staff trained Dangers to children are appropriately flagged up	Operations Managers, City and County

#### 5.4 USE OUR COMMUNITY PAYBACK PROVISION TO MEET THE NEEDS OF LOCAL COMMUNITIES AND ASSIST IN CRIME PREVENTION WHEREVER POSSIBLE

Objectives	Outcomes	Owner
<p>Maximise opportunities to deliver Community Payback in partnership with Local Authorities</p> <p>Develop our ability to feedback project achievements at a local level via project database and Delius</p> <p>Investigate opportunities for cross border collaboration via Community Payback 'lot' development</p> <p>Introduce increased intensive delivery of Community Payback in line with the principles set out in the Green Paper</p>	<p>Improved feedback to local communities</p> <p>Maximise opportunities for offenders and minimise travel especially in rural communities</p> <p>Increase and diversify the range of projects and possible work sites.</p>	<p>Director of interventions</p>

## 5.5 DEVELOP MORE EFFECTIVE PROCESSES TO MEET THE NEEDS OF WOMEN OFFENDERS

Objectives	Outcomes	Owner
Improved service delivery for women offenders	Re-focus Turnaround Project to impact on short term custody and reduced reoffending Cost of provision is benchmarked	Director of Probation, County Operations Managers

## 5.6 RESPOND TO POTENTIAL GROWTH IN CRIME CONSEQUENT ON THE ECONOMIC RECESSION BY WORKING WITH OUR PARTNERS TO ADDRESS ISSUES OF EDUCATION, TRAINING AND EMPLOYMENT

Objectives	Outcomes	Owner
<p>Maintain and Develop REACH 1 and initiate REACH 2 - European Social Fund funded Education Training and Employment scheme.</p> <p>Investigate and secure alternative funding stream to continue in-house delivery of Skills for Life</p> <p>Maintain and Develop IAG via Next Step contract</p> <p>Develop Education Training and Employment/Vocational Skills Learning activity for offenders on Unpaid Work via the Community Payback bid in collaboration with the other Trusts in the 'Lot'.</p>	<p>Increase pre employment activity with offenders and enable more offenders to secure sustainable employment. – income generation</p> <p>Ability to continue in –house Skills for Life provision across the TRUST</p> <p>Perform to contract , generate income, develop opportunities for offender employment</p> <p>Increased Education Training and Employment/Vocational Skills Learning activity available for offenders.</p>	<p>Director of Interventions</p>

## 5.8 IMPLEMENT STAKEHOLDER SURVEYS AND IMPROVE SATISFACTION LEVELS BY RESPONDING TO THEIR FEEDBACK

Objectives	Outcomes	Owner
Building on consultation and feedback take action to meet external stakeholders needs and expectations	Improved satisfaction levels as defined in surveys Stakeholders Sentencers Offenders Victims	Director of Business Services

**NATIONAL PROBATION SERVICE DERBYSHIRE - WHOLE AREA - RISK REGISTER 01/04/2011 TO 31/03/2012**

Submitted to SMT 05/04/2011

Submitted to Audit Committee 20/06/2011

Risk Ref No	Risk Description	Risk	What Success Looks Like	Mar-11	Jun-11	Sep-11	Nov-11	Mar-12	Change in Risk Rating	Comments and Proposed Actions over next quarter (More detail required for BLACK and RED risks - see separate action plan to be completed)	TREAT/ TOLERATE/ TRANSFER	Risk Owner
<b>1. Key Risks 2011/12</b>												
1.1	New accommodation in Chesterfield and Derby not sufficiently progressed	Operations	Capital approval given for replacement buildings and timetable in place.	9							TRANSFER	Director of Business Services
1.2	Area fails to meet national service Specifications and Benchmark Costs.	Financial Operations	Specifications met and funding sufficient	9							TREAT	Director of Business Services
1.3	The balance between workload and staffing resources becomes unacceptable.	Performance	Reduction of workload. Performance maintained.	12							TREAT/ TOLERATE	Chief Executive
1.4	Reducing Re-offending and Performance levels decline.	Reputation	Performance measures met	16							TREAT	Chief Executive
1.5	Preparation/pilot for Delius in 11/12 is disruptive	Operations	Smooth transition	16							TREAT	Director of Business Services
1.6	Implementation and reporting from new casework system (Delius) is delayed and misleading in managing performance.	Operations	Business as usual.	16							TREAT	Director of Business Services
1.7	OASys-R implementation is disruptive.	Operations	Business as usual.	16							TREAT	Director of Business Services
1.8	Move of financial application to national data centre is disruptive.	Operations	Business as usual.	16							TREAT	Director of Business Services
1.9	National Programmes audit result is poor.	Reputational	No significant criticisms.	16							TREAT	Director of Interventions
1.10	DPT loses delivery of Community Payback and offender management of CP orders.	Operational/Financial	Retain business.	16							TREAT/ TOLERATE	Director of Interventions
1.11	CP competition is disruptive to DPT performance.	Reputational/Operational	Continued high performance.	16							TREAT	Director of Interventions
1.12	Costs not reduced for 2012/13.	Financial/Reputational	Balanced Budget Plan for 2012/13 by 31/03/12.	16								
1.13	Implementation of Integrated HR/Payroll/Training system fails.	Financial/Reputational	New system fully operational as planned by 31/08/11.	12								Director of Interventions
1.14	Serious Further Offences by offenders, generates major PR disaster.	Reputational/Financial	No major adverse PR interest.	20							TOLERATE	All Directors and Operations Manager
1.15	No contract in place to replace NSPCC as deliverer of Sex Offender Programme.	Performance	Contract in place.	9							TREAT	Director of Interventions

**SECTION 2 FOR AUDIT COMMITTEE ONLY**

2 Residual business risks – i.e. considered to be under control and not imminently threatening achievement of the Trust's objectives.												
2.1	Staffing levels and qualification/training not sufficient.	Operations	Appropriately qualified staffing numbers maintained at affordable levels.	9							TOLERATE	Director of Business Services
2.2	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							TOLERATE	Director of Business Services
2.3	IT failure	Operations	Business as usual.	12							TOLERATE	Director of Business Services
2.4	Building inaccessibility due to fire/flood.	Operations	Business as usual.	5							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

Overall Risk Assessment Scores

Green	1 - 5
Amber	6 - 14
Red	15 - 20
Black	21 - 25



## DERBYSHIRE PROBATION TRUST - BALANCED SCORECARD (2011/12)

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

*Mission: To reduce re-offending and protect the public.*

### EXCELLENT & EFFECTIVE SERVICE DELIVERY

Strategic Plan Ref	Measure	Freq	YTD Target
1.1	PTRS Public Protection Score	Q	3
1.2 ; 2.1	Reducing Re-offending	Q	-9.2%
1.3 ; 1.5	Gain 4★ Excellence Award (EEM)	A	4★
5.4	Serious Further Offences	A	<8
1.6 ; 2.7	Business Continuity Plan in place	Q	Q2
4.5	No unjustified disproportionality	Q	✓

### CUSTOMERS, PARTNERSHIPS & COMMISSIONING

Strategic Plan Ref	Measure	Freq	YTD Target
5.4	Level 2/3 MAPP meeting attendance	Q	90%
5.5	CP hours - public nominated projects	Q	56%
5.7	Employment at term (LAA NI 144)	Q	40%
2.4	CP Public Sector (SWM) bid successful	A	Q4
	Sentencer Satisfaction		
5.8	Offender Satisfaction <sup>(2)</sup>	Q	71%
5.8	Victim Satisfaction	Q	85%

### DELIVERING VALUE FOR MONEY

Strategic Plan Ref	Measure	Freq	YTD Target
2.4	Does cost < SBC 'should cost'	Q	Q3
3.1	Costs reduced for 2012/13	A	-2%
3.1 ; 4.6	Forecast as % of Budget	Q	100%
3.1	Reduce travel expenditure (CSR)	Q	-5%
3.1 ; 3.4	Workload Management Score	Q	≤128
3.4	Reduce workload (caseload) demand	Q	2%
3.6*	Efficient Estate utilisation (m <sup>2</sup> /FTE)	A	12.3

### ORGANISATIONAL DEVELOPMENT

Strategic Plan Ref	Measure	Freq	YTD Target
1.1	Staff Sickness	Q	10.5
1.7	Internal Audit ratings	Q2	GA
4.1	Staff Satisfaction better than 2010	A	55%
4.1	Training Attendance Rate	Q	95%
1.2	Reporting from DELIUS sufficient for national + local management purposes	Q4	
3.7	Integrated HR/Payroll/Training system implemented	Q2	Avg
4.4*	% of eligible PSOs holding VQ3	Q	20%
4.5	Staff BME %	Q	8.3%

#### Notes:

Direction of Travel (Trend) is in relation to performance and may not reflect a numeric increase or decrease in the measure e.g. an increase in sickness would reflect as ↓

1. Positive response to the statement "Strongly agree that supervision makes sure that offenders are aware of the effects of crime on the victims of crime and the public." Note national standard target is 67%.