

# Avon & Somerset Probation Trust

BUSINESS PLAN 2010/11

**PROTECTING THE PUBLIC AND REDUCING CRIME:  
WORKING WITH PARTNERS TO SERVE VICTIMS AND COMMUNITIES**

<b>CONTENTS</b>		
<b>SECTION</b>	<b>TITLE</b>	<b>PAGE</b>
	Document Purpose including Accessibility and Equality Impact Assessment	1
	Avon and Somerset Probation Trust. An overview by the Chief Officer and Board Chair <ul style="list-style-type: none"> <li>• A credible organisation that can be trusted to deliver</li> <li>• Our mission and values</li> </ul>	
1	Improving Operational Performance <ul style="list-style-type: none"> <li>• Delivering improving, high quality, effective services that reduce re-offending and protect the public</li> </ul>	
2	Improving Community Engagement and Stakeholder Confidence <ul style="list-style-type: none"> <li>• Building and shaping local accountability by seeking feedback on our services and developing our marketing strategy with our staff</li> </ul>	
3	Delivering Value for Money <ul style="list-style-type: none"> <li>• Understanding our cost-base to support best value reviews, the ability to attract external resources and improved commissioning and contracting capability</li> <li>• Headline Financial Plan ready 22 April</li> <li>• Headline Performance Achievements 09/10</li> <li>• DOM Contract 10/11 Performance Targets</li> </ul>	
4	Developing Organisational Capability <ul style="list-style-type: none"> <li>• Modernising our systems and workforce to become a provider of choice in a competitive market.</li> </ul>	
Appendix 1	Delivery Tables	
Appendix 2	Organisational Structure to be inserted	
Appendix 3	Risk Register – Top 10 Summary inserted	
Appendix 4	Business Plan Review Structure	
Appendix 5	Data Tables	
Appendix 6	Political, Economic, Social and Technological (PEST)	
Appendix7	Glossary	

## **A Probation Trust that can be trusted to deliver**

The contract is signed and we are now a probation trust. Our excellent recent staff conferences in March created opportunities for all staff to become better acquainted with many diverse aspects of our service through the very well prepared and delivered workshops, to understand better the change to becoming a trust and what this does and does not offer, and to convey key messages to the outside world.

It was this last aspect that was particularly memorable – the feedback from all the conference tables reflected a deep pride in what we do, a conviction about our skills, impact and value, and a recognition that we all need to do more to enable other key players to both value what we do and then to be ambassadors for our work. Being outward looking and building further our competitive advantages are central to a successful future.

This business plan sets out the deliverable intentions of the Avon and Somerset Probation Trust for 2010/11 - year 2 of the previously published 09-13 Business Plan. Working in partnership with others Avon and Somerset Probation Trust (ASPT) will provide competitive and effective services to victims, courts and offenders. Our services will reduce re-offending and improve public protection. The Board and staff are agreed that we want ASPT to be the provider of choice in a more competitive environment. Being competitive means delivering a balance of performance, quality and value while acting on feedback from our partners, stakeholders and service users.

Our staff tell us that being a high performing organisation is the platform for further quality and value improvements. They want to develop their professionalism and their business capability.

Our plan embraces change for the future whilst making sure our business continues to improve. This plan, with the more detailed delivery tables, gives direction to our staff and it explains our priorities to our partners.

We will share the required outcomes of the plan with our staff and stakeholders over the coming months, as we continue to consult with them on the development of our ability to compete. The more detailed delivery tables are attached identifying activities, timescales, risks and outcomes for the next year linked to ASPT and National Offender Management Service (NOMS) priorities.

At a time of significant organisational change the Organisational Development Plan is an important sister document to the Business Plan. The detail of development objectives to improve ASPT professionalism and Business Capability is described there.

### ***ASPT Vision***

***ASPT will protect the public and reduce crime by contributing to a fair and effective Criminal Justice system. We will provide justice for victims and local communities, punishment and reform for offenders and value for the taxpayer. ASPT will continue to develop our business and professional skills to be a provider of choice in a competitive criminal justice market.***

### **Mission Statement**

The purpose of Avon and Somerset Probation is to secure the most effective management of offenders, to reduce crime and to protect victims in order to increase public safety in our Area. Our goals are to enforce orders of the courts, to listen to and take into account the views of victims and to rehabilitate offenders.

We treat everyone with respect and dignity while recognising the diversity of the communities in which we live and work.

### Value Statement

ASPT will achieve its Vision and Mission by adhering to the following values:

**Trustworthy** to act with integrity and honesty and to be held accountable for our actions

**Creative** to encourage innovation and best practice

**Positive** to support each other through challenges

**Flexible** to manage and adapt to change constructively

**Inclusive** to treat all individuals with dignity and respect

**Inspiring** to motivate ourselves and others to achieve full potential

Finally, we are a solution focused organisation. The Chief Officer, our staff and the Board work in productive partnership, confident that we can deliver our plans to the benefit of our communities in Avon and Somerset.

The Board welcomes feedback and comments about this plan or any aspect of our work. Information will be made available, on request, in large print, language translation and audio format. To give feedback, request assistance with accessibility or obtain information in other formats please use the contact details opposite:

### Equality Impact Assessment

ASPT will continue to dynamically assess the impact of these plans, as they are implemented, through its control processes. These plans are an exemplification of those of the Ministry of Justice / NOMS.

Joe Kuipers Trust Chair



Sally Lewis CEO



### Contact details

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## 1. Improving Operational Performance.

**Delivering improving, high quality, effective services that reduce re-offending and protect the public.**

1.1 Our operational performance priorities derive both from national directives and local factors. We have three overarching operational performance priorities. They are summarised in the table included below in this section and addressed in much greater detail in the delivery tables<sup>1</sup> attached with associated outcomes / success criteria and risks.

ASPT Operational priorities. We will:

1. Align better the supply of and demand for correctional services.
2. Improve offender management.
3. Improve interventions outcomes.

1.2 Embedding our Local Delivery Unit (LDU) structures is central to the development of ASPT. However, it must be referenced here as underpinning performance and efficiency improvements and because it marks a major shift away from the functional management approach previously employed by ASPA.

1.3 Our operational performance framework will be underpinned by a whole system approach involving local communities in cutting crime. Strategic partnerships with defined, shared purposes will be further developed with

public, private and third sector organisations. Therefore, to meet the twin aims of protecting the public and reducing re-offending ASPT will:

- ensure that prison and probation services are co-ordinated “through the gate”;
- work in partnership at local level through the Local Criminal Justice Board and with others in the criminal justice system and in the community to achieve truly joined-up offender management and a balance of supply and demand where possible;
- improve interventions that properly meet the diversity needs of our service users and communities;
- capitalise on the opportunities available through becoming a statutory partner in the Crime and Disorder Reduction Partnerships (CDRPs, 1/4/2010) to work with local government, the NHS, Learning & Skills Councils, Job Centres and others to secure the finance and debt, family, housing, health, alcohol and drug use, employment and training pathways to deliver offender rehabilitation more effectively.

1.4 The accuracy, timeliness and use of information are fundamental to securing improvement. ASPT will continue to develop our information systems to incorporate relevant data that reflects our commitment to equalities, diversity and responds to feedback from our stakeholders and service users. Our information is available at Trust, LDU, Local Authority, team and individual staff levels. Ensuring that meaningful information is available to sentencers and court staff will be a high priority.

1.5 We will build on our demonstrable performance improvement. The scoring of some IPPF targets is dependant upon the performance of other probation trusts.

<sup>1</sup> See Appendix 1 Delivery Tables

We will meet absolute standards of performance when dealing with the higher risk cases where anything less than 100% performance is undesirable. We are embedding a culture of continuous improvement.<sup>2</sup>

- 1.6 We will engage more effectively with our communities through our newly created Local Delivery Units. We will promote better understanding of our services to increase confidence in our work and in the criminal justice system.
- 1.7 The geographic focus of Offender Management in three Local Delivery Units will support front-line decision making, deliver many elements of the operational performance priorities and support local decisions on influencing demand and commissioning interventions. Where ever possible decision making will be supported, by real time performance information.
- 1.8 The following table sets out broadly what ASPT will do to address the operational priorities.

- ***More effective work with the Courts will be supported by a revised Sentencer Engagement Plan. We will better align the supply of and demand for correctional services through the provision of better information to sentencer on the effectiveness of community sentencing. Our recent successful conferences and significantly improved services to the Courts provide a sound platform for these discussions. We will expect to work closely with the DOM team to meet this objective.***
- ***To compensate for doing more with higher risk offenders we will rationalise our work as permitted by the national Specification, Benchmarking and Costing Programme and we will find ways of working with lower risk offenders more***

***competitively in community partnership.***

- ***We will work to re-balance community penalty rates for women offenders against custodial sentence rates. Where appropriate we will also contribute to diversion of defendants and offenders with mental health problems from court or custody.***
- ***We will do more to meet the needs of victims as set out under the Code of Practice so that we play our full part in giving voice to their views and protecting the most vulnerable. To secure this aim, Victim Liaison Officers are fully integrated into local Offender Management teams.***
- ***We will improve Offender Management services for higher risk offenders and those assessed to be prolific and priority offenders by learning from Integrated Offender Management models.***
- ***We will fully support Multi Agency Public Protection Arrangements and find further means of assessing the quality of our input.***
- ***We will produce high quality and timely reports to the Courts and Parole Board with positive satisfaction rates and high concordance between our professional advice and sentencers / parole board decisions.***
- ***The quality of risk assessments, sentence planning and review will be subject to continuous improvement.***
- ***We will further improve offender compliance with community order and licence requirements.***
- ***We will become more outcome than output focused. In particular when addressing offending related factors, such as employment, accommodation and substance misuse etc.***
- ***We will improve intervention outcomes and our targeting of interventions including the development of an Education Training and Employment (ETE) strategy.***
- ***We will evidence that our services meet the diverse circumstances of the individuals and communities with and for whom we work including our victims services.***

<sup>2</sup> See also Section 4 of our Organisational Development Plan, Embedding Continuous Improvement.

## Our operational context

- 1.9 Avon and Somerset is made up of five unitary or higher tier local authorities; Bristol, South Gloucestershire, North Somerset, Somerset, Bath and North East Somerset. It has a total population of 1,446,854 and covers 4,853 square miles. Employment rates are relatively high and the South West's housing costs are second only to London and the South East.
- 1.10 The suburbs of Bristol spill into each of the other local authorities with the exception of Somerset. This geography dominates transport links and service provision and has been a critical factor in considering ASPT's three Local Delivery Unit structure. Bristol has the sixth highest crime rate per head of population amongst the local authorities in England and Wales. The demographics and crime levels generate differing local concerns which will be addressed jointly with each Crime and Disorder Reduction Partnership and others.
- 1.11 ASPT was managing 5,707 offenders at the end of March 2010, an increase of 7% from a year previously. Of these 3,489 (61%) were on some type of Community Order, 1,365 (24%) were in custody and 853 (15%) were On Licence. There has been a dramatic increase in On Licence numbers in the last few years.
- 1.12 1,041 (18%) of the offenders supervised were classified at Tier 4, the most resource intensive level for Probation, and a higher proportion than many other Probation areas nationally. There are 4 Approved Premises in the area managing, therefore, a relatively high proportion of regional MAPPA level 2 and 3 cases. The Approved Premises benefit from fully engaged community advice groups.
- 1.13 ASPT directly manages 251 of its offenders through Prolific and Priority Offender ("PPO") schemes and another 159 offenders through the Bristol based Integrated Offender Management initiative IMPACT. Both of these are initiatives run in partnership with other agencies, particularly Avon and Somerset Police and local authorities. We are looking to rollout the IMPACT approach to the remaining local authority areas outside Bristol in 2010/11.
- 1.14 ASPT prepared 4,851 reports for Magistrates and Crown Courts in 2009 / 2010. Of these 77% were fast or oral reports compared with 31% in 2008/09, meaning sentencers received a much quicker service, which was less resource intensive for us to provide.
- 1.15 Offenders undertook 151,534 hours of Community Payback, formerly known as Unpaid Work. This is a 10% rise on last year.
- 1.16 381 victims of violent or sexual crime received a dedicated information and support service by the ASPT Victim team.
- 1.17 ASPT employs 536 staff in over 30 locations across the Avon and Somerset area including in Approved Premises and HM Prisons Leyhill, Bristol, Shepton Mallet and Eastwood Park establishment for women. ASPT also have staff in each of the 5 Local Authority based Youth Offending Teams.

## 2. Improving Community Engagement and Stakeholder Confidence

**Building and shaping local accountability by seeking feedback on our services and developing our marketing strategy with our staff.**

The Balanced Scorecard developed in 2009/10 indicated that ASPT should focus on staff and community engagement in 2010/11 as these strands were less well developed than performance and value activity. The Business Plan has thus been revised giving appropriate prominence to these topics.

ASPT recognise that strong staff engagement with our key development projects outlined in Section 4 will underpin their success and sustainability. We recognise that our staff have a critical role to play in developing community engagement and public confidence. The planned targeted development work from the 09/10 staff survey will drive an ever stronger relationship with ASPT's most prized asset: the commitment, professionalism and accountability of our staff.

In addition to continuing the current engagement work with Criminal Justice Partners, ASPT will capitalise on the opportunities offered from becoming a statutory partner in the local Crime and Disorder Reduction Partnerships (CDRPs) in 2010/11. This development will enable the newly created Local Delivery Unit Structure to formally build on existing good relationships to deliver a wider range of integrated community outcomes that reduce crime and protect the public in partnership.

We will ensure that our local managers and staff demonstrate leadership in shaping the required local Reducing Reoffending

Plans with the CDRPs. We will offer our business capability to these partnerships both in terms of professional expertise and data analysis.

Our aim will be that all local public funding streams are aware of 'what works' with offenders to ensure that a wide range of services are as effective as possible in reducing reoffending and public protection.

ASPT Community Engagement priorities. We will:

4. Engage more effectively with communities, stakeholders and staff. Listen to and use feedback. Improve our communications.

As part of our Community Engagement and Stakeholder activity we will seek feedback from local partners and staff on the effectiveness of our services, our organisation and our communication. We will actively integrate this feedback into planning and service development and will set targets to enable the Board to monitor this work through the Balanced Scorecard.

As part of our development as a more commercially focussed organisation we will identify opportunities to seek funding to enable us to widen the use of our expertise in public protection and reducing reoffending matters.

This activity will provide important evidence of our ability to be responsive to our partners and agile and innovative in a competitive market. The evidence will be structured through our project to gain accreditation to the EFQM international quality standard.

We will ensure that we develop new and appropriate relationships with our commissioners with an initial focus on our regional Director of Offender Management (DOM) ensuring that they are fully aware of our ever increasing capability.

Finally ASPT will give greater prominence to the importance of marketing work in improving confidence in our services. We will initially focus on identifying consistent core messages with staff to share with partners while we develop a longer term strategy that can address the wider public view.

Building on feedback from our stakeholders and the 09/10 staff conferences and staff survey we will clearly identify and publicise the pride we have in the effectiveness and value of our services.

- *Our Local Delivery Unit structure will devolve greater decision making and flexibility to the LDU leaders, their managers and staff.*
- *ASPT will have designated professional and data analysis links to each CDRP and to the various priority strands in local reducing reoffending plans.*
- *Community engagement will be undertaken at LDU level with strategic lead from the Trust as appropriate. Future engagement will build on the initial consultation event undertaken in April 2009 to seek feedback on our LDU plans. We will develop systems to enable LDU staff to seek and action feedback within clearly defined processes mapped on Control 2007. This will include marketing messages for staff to take out into our communities. There will be clear arrangements for sharing information about and seeking feedback on our services, our organisation and our local leadership.*
- *Staff will be clear about ASPT strategic messages and will share a common language with which to discuss ASPT's critical and successful role in delivering reducing*

*reoffending and public protection outcomes in the local community.*

- *Our revised engagement plans will include our DOM sentencers, police, colleagues from local authorities and partners delivering reducing reoffending outcomes. This will be supported by a revised Communications Strategy.*
- *We will increasingly recognise the importance of marketing as part of our business development activity and a key strand of becoming a provider of choice in a competitive market.*
- *We will design a sustainable framework that captures planning by partner organisations at LDU and Trust level to offer ASPT best access to the thinking of others for our planning. We will also ensure that partners are aware of what works in terms of protecting the public and reducing reoffending to best influence local service delivery which will promote safer and stronger communities.*
- *We will identify development projects to tailor current services to community need e.g. Domestic Abuse awareness sessions for community partners.*
- *We will use the EFQM Framework and the Balanced Scorecard to formalise quality development work in relation to staff engagement and better marketing. Improvement targets will be set and overseen by the Performance Quality and Value Board to ensure delivery.*
- *We will communicate all improvement to the relevant stakeholders, particularly to our staff.*

### 3. Delivering Value For Money

#### Understanding our cost-base to support best value reviews, the ability to attract external resources and improved commissioning and contracting capability

- 3.1 The success of our organisation relies upon ongoing high performance and the best use of resources. We will maximise the value of payments from NOMS within a new contracting relationship. We will ensure that our contracting relationship with NOMS via the DOM is robust and realistic. Our service delivery will be more efficient and we will increasingly draw in resources from other sources.
- 3.2 The alignment of supply and demand will have a significant bearing on our resource management success and this is reflected in our risk register. Appropriate levels of financial and cost understanding will be incorporated throughout the organisation.
- 3.3 In addition, we will work with the DOM team to realise regional savings from mergers or shared services which could lead to reduced management, property, and board costs and / or improved services.
- 3.4 We will identify the range of potential commissioners for our services and the market from which we can better commission our outcomes in consultation with partners.
- 3.5 Our priorities derive from national and local imperatives. We have three overarching resource management priorities. They are summarised in the table included below in this section and addressed in much greater detail

in the delivery tables<sup>3</sup> attached with associated outcomes / success criteria.

ASPT Resource Management priorities. We will:

5. Develop the financial capabilities of ASPT staff including the identification and implementation of non process savings.
  6. Apply process management principles to ASPT delivery to ensure ongoing efficient and effective service development.
  7. Increase inward investment and maximise the use of commissioning with a focus on LDUs.
- 
- 3.6 These priorities depend on increased integration across our senior management portfolios and on the critical input by our business development unit working especially well in tandem with our finance unit. We see the expansion of our business capability as central to enabling our resource priorities and capacity building requirements to be met.
  - 3.7 Founded on a history of excellent financial management the executive will present to the Board delivery plans which integrate operational, finance, business development and HR imperatives. Our focus will be on the accurate identification of service cost as well as achieving financial balance. We will actively use activity costing within the framework of the NOMS national Unit Costing model and work to ever more accurately apportion overheads.

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<sup>3</sup> See Appendix 1

3.8 The following table sets out broadly what ASPT will do to address the resource priorities.

- *We will expand and enhance our business capability, with a focus on becoming a provider of choice in a competitive market*
- *We will embed a scheme of financial delegation and accountability arrangements for Local Delivery Unit Leaders. This will be accompanied by suitable development and support activity led by Finance and Business Development staff.*
- *We will undertake Best Value reviews across our services with an increasing focus on activity costing by systematically examining our business processes and making use of any benchmarking information available (e.g. from the Specification, Benchmarking and Costing Programme, Nimbus Control and the NOMs PREVIEW system).*
- *Best Value exercises will underpin Board decisions on how Trust outcomes will be achieved. As a consequence of these exercises the Trust will be assured of providing high quality cost competitive outcomes whether services are commissioned in house or from the market. We will either work smarter or expect to see more services commissioned from other providers.*
- *We will implement the improvements identified from the Best Value exercises with the Victims Liaison and Community Payback teams in 09/10.*
- *The Board will be provided by October 2010 with specific plans detailing how commissioning, contracting and procurement will improve. This will enable us to work with LDU partner commissioning cycles.*
- *We will pilot Service Level Agreements between the Trust and Local Delivery Units, corporate services and interventions, where LDUs play a key role in the specification of interventions services to be commissioned by the Trust.*
- *Savings will also be made by the application of Process*

*Management. The Change Control Board will continue to oversee the required developments and action plans. A programme of workshops, co-ordinated by the Process Officer, will draw on ASPT and partnership expertise to improve processes and identify costs and improve value.*

- *We will further develop our Offender Management Resource Allocation Model to ensure fair and equitable resources and caseloads in the Local Delivery Units. We will extend modelling to incorporate interventions and support services in a resource allocation approach.*
- *As a “Knowledge Pioneer” in partnership with NOMS we will launch a new e-mail and document management policy to reduce e-mail traffic and release practitioner and management time, thus increasing productivity. This will be aligned to the development required to ensure our data storage, retrieval and document management systems are ready for implementation of the National Case Management System in 2011/12.*
- *We will scope and identify potential savings from this change to our IT system as part of NOMS IT transformation project (OMNI-T). The national system will present opportunities for regional or national joint venture in delivering this support system.*
- *The Board will implement further property reductions, as part of our overall Property Strategy.*
- *Staff will be engaged to identify every possible non process saving including transport and office supplies.*
- *In the light of advice and comparative information the Board will establish inward investment targets for 2010/11, to be achieved at Local Delivery Unit and Trust level. These targets will be accompanied by development of specific systems to capture income or capacity generation opportunities and staff training.*

## Our resource context

- 3.9 In common with all Probation Trusts we understand that we face significant resource challenges over the coming years certain to lead to staffing reductions across all parts of the organisation and other savings requirements. We will work constructively with our commissioners to ensure that this context is reflected in contracting and target setting.
- 3.10 We have a proven track record in receiving unqualified accounts, since the creation of the merged probation area (ASPA). The External Auditors have also confirmed, in their Annual Governance Report, that the Board has put in place adequate corporate arrangements for securing economy, efficiency and effectiveness in the use of its resources.
- 3.11 ASPT has reduced its unit costs. No national unit costing work was undertaken in 09/10. However, 2008/09 national Probation Unit Costs show ASPT achieving lower than national unit costs on Offender Management Cases, Community Payback and Victims. In areas where ASPT showed higher than national average unit costs concerted work has reduced expenditure and/ or improved productivity, for example SBC outcomes, Best Value reviews and the Approved Premises restructure. Savings have been made in interventions and extensive areas of offender management. This work will be continued using the PREVIEW system and the activity costing ability of Nimbus Control.
- 3.12 We have a robust system in place for monitoring progress against all audit recommendations. The recommendations, together with the agreed management actions, are incorporated into the area's audit log and are monitored by the Director of Finance and Chief Officer.

Progress is reported to every Audit Committee and onward to the Board. The process ensures a comprehensive control framework to oversee corporate governance<sup>4</sup>.

- 3.13 Our headline financial expectations are set out on page 13 with our contractual targets summarised on pages 14 and 15. ASPT are proud of our performance in 09/10 achieving the exceptional rating as summarised on page 16.

*"There has been a highly productive collaborative approach between our agencies aimed at reducing offending and protecting communities. The Avon and Somerset Prolific Offender scheme, driven jointly by the Probation Service and Police, is a nationally recognised model that has been highly effective in targeting, mainstreaming and rehabilitating prolific offenders, reducing crime and improving public confidence. Effective joint working practices in bringing serious and dangerous offenders to justice through Licence Recalls are well established. The creation of the Integrated Offender Management Unit in Bristol has significantly increased our capacity and capability to manage over 400 prolific offenders. By autumn 2009 we will together manage 500, increasing to 1000 offenders during 2010. This has been awarded National Pathfinders status by the Ministry of Justice. Again, our partners in the Probation Service have been key deliverers and innovators."*

**John Long – Assistant Chief Constable  
Avon & Somerset Constabulary**

*"The Community Payback teams are integral to our providing sorted charitable goods into the developing world. Their efforts lead to the creation of employment in Africa and the financing of an AIDS orphanage in Zambia."*

**Alan Cable – Director  
Aspire Community Enterprise Ltd**

<sup>4</sup> See Organisational Development Plan, Appendix 1.

## ASPT 10/11 Financial Plan

### AVON & AND SOMERSET PROBATION TRUST 2010-11 Financial Plan Summary

<b>a)</b>	<b><u>INCOME</u></b>	<b>£ 000's</b>	<b>£ 000's</b>
<b>i)</b>	<b>MOJ Income</b>		
	<b>Total Mainstream Income</b>		<b>20,204</b>
	<b>Ring Fenced Income</b>		<b>638</b>
	<b>Total MoJ Income</b>		<b>20,842</b>
<b>ii)</b>	<b>External Income</b>		<b>2,601</b>
<b>iii)</b>	<b>Other Income</b>		<b>222</b>
	<b>TOTAL INCOME</b>		<b>23,665</b>

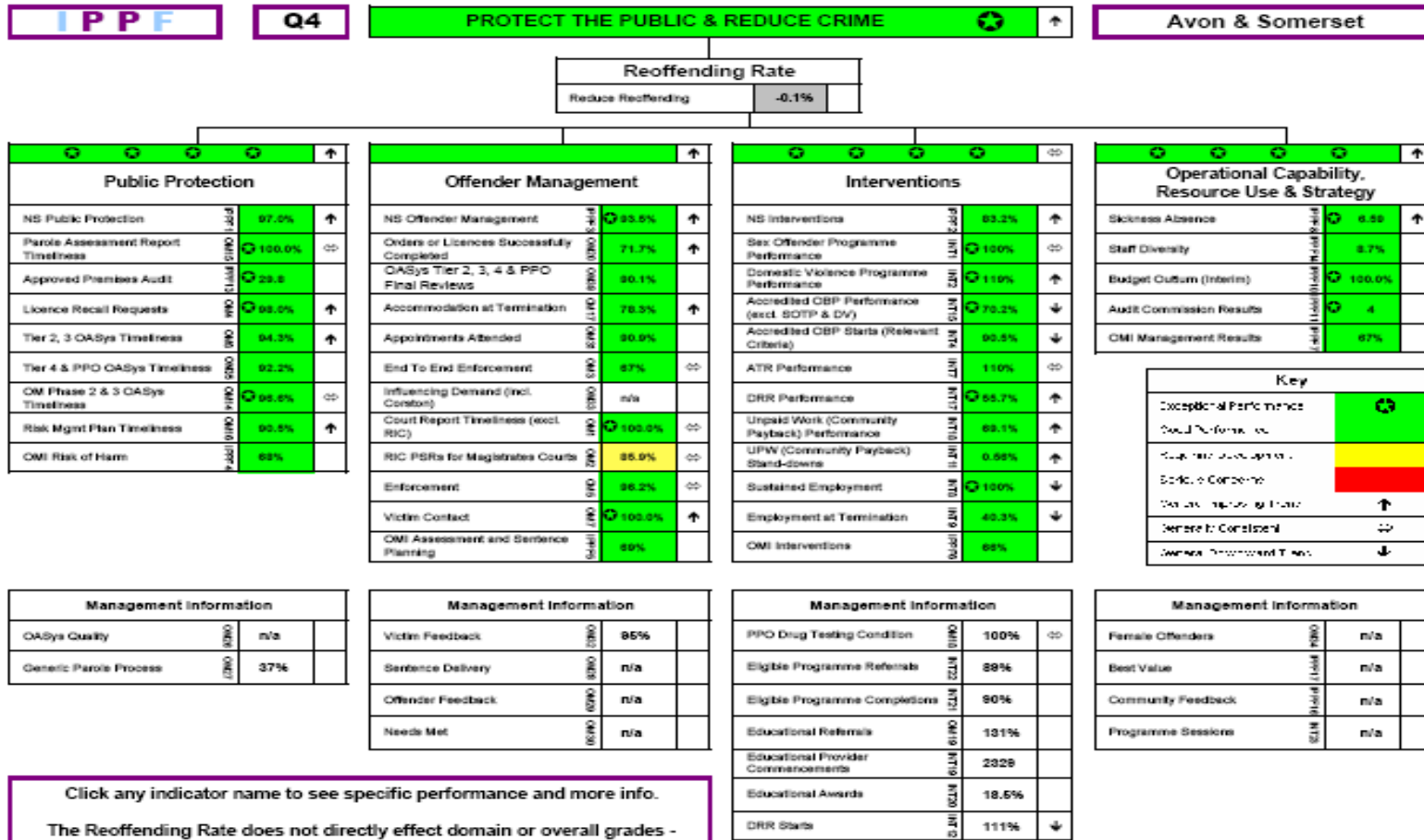
<b>b)</b>	<b><u>EXPENDITURE</u></b>		
<b>i)</b>	<b>Internal Expenditure</b>		<b>20,426</b>
<b>ii)</b>	<b>Ring Fenced Expenditure</b>		<b>638</b>
<b>iii)</b>	<b>External Expenditure</b>		<b>2,601</b>
	<b>TOTAL EXPENDITURE</b>		<b>23,665</b>

## Main 2010/11 Performance Measures and Targets

Domain	Number	Measure	Target
Re-Offending Domain	OM21	Reduce Reoffending	c.< -5.2%
Public Protection Domain	IPPF1	NSmart Public Protection file quality	>=90%
	OM15	Parole Assessment timeliness	>=90%
	IPPF13	Approved Premises Audit	>=28
	OM4	Licence recall requests (24hrs)	>=90%
	OM8	Tiers 2 & 3 Reviews/ISP OASYS timeliness	>=90%
	OM35	Tier 4/PPO Reviews/ISP OASYS timeliness	>=90%
	OM14	OM Phase 2/3 OASys Timeliness	>=90%
	OM26	OASYS risk assessment quality	"Sufficient"
	OM27	ISP parole report timeliness	>=80%
	IPPF4	Risk of Harm Inspection result	>=66%
Offender Management Domain	IPPF3	NSmart Offender Management file quality	>=-90%
	OM20	Orders and licences successfully completed	>=70%
	OM39	Tier 2,3,4 & PPO Final Reviews OASYS timeliness	>=90%
	OM17	Offenders in accommodation at termination	>=75%
	OM3	Breaches of orders resolved at court within 25 working days	>=65%
	OM33	Influencing demand	"Good"
	OM40	PSRs completed within the Courts timescale	>=90%
	OM5	Initiation of breach of order within 10 working days	>=90%
	OM7	Victims contacted within 8 weeks of sentence	>=90%
	OM32	Victim Satisfaction	>=90%
	OM29	Offender Feedback	>=67%
	IPPF5	Assessment and Sentence Planning Inspection result	>=66%
Interventions Domain	IPPF2	NSmart Interventions file quality	>=90%
	INT13	Sex Offender programme completion rate	>=77%
	INT1	Sex Offender programme completions	>=30
	INT 14	Domestic Violence programme completion rate	>=67%
	INT2	Domestic Violence programme completions	>=105
	INT15	Other Accredited Offending Behaviour programme completion rate	>=65%

	INT3	Other Accredited Offender Behaviour programme completions	>=179
	INT4	Other Accredited Offender Behaviour programme starts	>=80%
	INT 16	Alcohol Treatment requirement completion rate	>=50%
	INT7	Alcohol treatment requirement completions	>=20
	INT 17	Drugs Rehabilitation requirement completion rate	>=52%
	INT6	Drug rehabilitation requirement successful completions	>=200
	INT18	Community Payback completion rate	>=73%
	INT5	Community Payback completions	>=998
	INT11	Community payback days lost to stand downs	<=4%
	INT 19	Education provision starts	>=600
	OM19	Referrals to Educational provision	>=1075
	INT 20	Education referrals to providers resulting in award	>=25%
	INT8	Offenders finding and sustaining employment	>=400
	INT9	Offenders employed at termination	>=40%
	IPPF6	Interventions Inspection result	>=66%
Operational Capability, Resource Use & Strategy	IPPF8	Sickness Absence	<=9 days
	IPPF14	Staff Diversity	>=3.4%
	IPPF10	Budget Outturn	>95<100.5%
	IPPF11	Audit Commission Results	>=3
	IPPF7	Management and Leadership Inspection result	>=66%

# Integrated Probation Performance Framework 09/10 Achievement



## 4. Developing Organisational Capability

**Modernising our systems and workforce to become a provider of choice in a competitive market.**

### Our priorities

- 4.1 The achievement of current and future Trust Objectives is dependent on our increasing capability and development of our business strategy. Our organisation will be founded upon accurate and timely performance, quality and value information. We will be information and evidence led<sup>5</sup>. We will increasingly utilise predictive data that analyses offender need and reflects the priorities we share with partners. Our savings plans will ensure that we maintain and enhance our front line operational services. ASPT will become an increasingly capable organisation delivering high quality, effective services and able to meet the competitive challenges ahead.
- 4.2 We will pay renewed attention to business continuity, the management of business risk, succession planning and information assurance giving these equal status to the correct assessment of risk of harm and ensuring that all our strategy and delivery has diversity considerations at their core.
- 4.3 We will give appropriate attention to the development of lean and sustainable systems that better enable our dedicated staff to demonstrate and improve their professional capability.

- 4.4 Our priorities derive from national and local imperatives. We have three overarching capability and development priorities. They are summarised in the table included below and addressed in greater detail in the delivery tables<sup>6</sup> attached.

ASPT Capability and Development priorities. We will:

8. Coordinate a range of quality and value projects monitored by the ASPT Balanced Scorecard
9. Improve support for offender management services including the development of use of technology (OMNI-T).
10. Invest more effectively in our staff through a refreshed staff development and training plan, to include improved succession planning.

Detail of the above is held in the ASPT Organisational Development Plan (ODP)

- 4.5 Our capability and development targets will be shaped by the implementation of the ASPT Balanced Scorecard. This will ensure that we appropriately resource key development projects on the basis of evidence and scoped business benefit. Additionally the use of this quality management tool will ensure that we do not develop some capabilities to the detriment of others. The Performance, Quality and Value (PQV) Board and specific meetings with the executive will oversee the planning associated with our progress towards being a provider of Choice in a Competitive Market.

<sup>5</sup> See examples in Appendix 5

<sup>6</sup> See Appendix 1

4.6 The integration of all our business and governance functions is an important aspect of improving capability. The Board has deployed specific Board members to take special interests in the 3 Local Delivery Units and the range of development projects including the ongoing development of the Balanced Scorecard and implementation of the Costing projects. Recent Board appointments were geared to select members with the requisite skills to scrutinise Corporate Business and Professional development.

4.7 The following table sets out broadly what ASPT will do to address the capability and development priorities

- *Our workforce modernisation will continue from baselining work in 2009 regarding management numbers and structures.*
- *The Board will approve a training plan which will ensure that all staff are enabled to improve their performance, business awareness and are able to undertake the widest range of tasks possible within their grades.*
- *Development and implementation of 'My HR', a staff data self-service management system, will continue including a further sharpening of our appraisal approaches to link personal performance more clearly to development objectives and specific contract and IPPF targets.*
- *Knowledge and document management systems will be deployed to ensure organisational memory is retained and innovation promoted. We are a NOMS Knowledge Pioneer.*
- *The Board will receive reports from the Change Control Board, working with the executive to ensure that all changes are synchronised, kept on track and implemented.*
- *Regulating mechanisms in ASPT (e.g. the Audit Committee and Change Control Board) will satisfy external scrutiny without stifling development. Governance arrangements include specific attention to information Assurance, and our Business Continuity Planning.*

- *As part of OMNI-T we will plan for a careful and well managed transition to National Data Centres and the National Case Management System (Delius). This will be achieved with full staff engagement.*
- *We will use established programme management approaches with regular exception reporting to oversee and integrate the development projects. ASPT Process Management approach, Nimbus Control's ability to 'activity cost' operational processes and use of NOMs PREVIEW systems will be crucial to drive the required savings, work robustly with activity costs and foster innovation.*
- *We will achieve the 'Recognised for Excellence' accreditation) to support our aim of being a competitive provider in the marketplace. We will maintain Matrix accreditation and our unique ISO 18001 Health and Safety award within a Probation Trust.*
- *ASPT will embed the use of the Balanced Scorecard as the 'Board Dashboard' that drives our organisational development beyond the requirements of the Probation Performance Framework to address the requirements of the wider community and market.*
- *Workforce modernisation will address balancing a reducing resource position with sustainable and safe service delivery. Such discussions will involve staff and unions and take place as part of the expected contract review processes with the DOM.*
- *Modernisation will include increased expectations that our staff will be flexible in their approach to Offender Management functions.*
- *We will increase the professional development opportunities for all our staff but particularly our Probation Service Officers.*
- *We will maximise the expertise of our administrative staff. Our case administrator and business officer staff working within Offender Management teams will be directly managed by OM Team Leaders to ensure streamlined management structures and maximum integration.*

## **Organisational context**

- 4.8 ASPT has achieved a modernised approach to leadership, accountability and management practices. The progress made has delivered tangible results in terms of IPPF performance which forms a strong foundation for our future ambitious and achievable development plans.
- 4.9 Development in 10/11 will have a strong focus on quality and value strands building upon proven Performance Management techniques. It is our intention to be fully prepared for any external inspection or assessment including the Offender Management Inspection
- 4.10 Staff and union engagement is a critical aspect in all our development plans. ASPT leadership will work tirelessly to offer every opportunity for staff to be aware of and able to engage with our critical development projects. We recognise that staff's professional expertise will complement and enhance our current and aspirational business acumen.
- 4.11 ASPT has a separate Organisational Development Plan that addresses our priorities and gives more detail on the issues above. In particular it deals with
- a. Governance and workforce development issues
  - b. Performance, Quality and Value topics
  - c. further detail on Process Management
  - d. the required transition to a National Case Management System (Delius)
  - e. and the development of our marketing awareness and Community Engagement activity.

*"The ss Great Britain Trust is delighted to continue working in partnership with the Avon and Somerset Probation Service. The Community Payback scheme plays an important role in the ongoing maintenance and conservation of the ss Great Britain. As an independent museum and registered charity, which receives no local or central government funding, the Trust has to generate income through visitors, venue hire, weddings and civil partnerships. It would be difficult to meet the full costs associated with caring for this historic ship, and to meet high standards for our visitors, without the support of Community Payback."*

**Matthew Tanner MBE – Director  
Ss Great Britain Trust**

**APPENDIX 1: DELIVERY TABLES FOR BUSINESS PLAN PRIORITIES YR 2 2010/11**

<b>PRIORITY: 1 Align Supply and Demand for Correctional Services</b>					
<b>Activity / Milestone</b>	<b>Dependencies</b>	<b>Owner</b>	<b>Measurable Outcome</b>	<b>Risk</b>	<b>By When</b>
1.1 Fully implement Demand Management and Sentencer Engagement Strategies including <ul style="list-style-type: none"> <li>work with HMCS &amp; Judges to increase FDRs at Crown Court</li> <li>feedback on strategic approach</li> <li>diversion of appropriate offenders</li> </ul>	Ability to engage Crown Court Judges in ASPT strategy  Performance sustained and improved on IPPF court based measures	LDU Leaders	Sentencer feedback / caseload data shows. <ul style="list-style-type: none"> <li>caseload increase stabilised then decreased</li> <li>improved local Sentencer engagement and increased Sentencer confidence in effective and cost efficient community sentences</li> <li>regular and reliable data provided for Sentencers</li> <li>FDR crown court rates increase</li> <li>Women, mental health and short terms custody diversion and</li> <li>better use of Attendance Centres</li> <li>DOM Demand Management measures met</li> </ul>	Inability to engage sentencers in long term strategy. Offenders not appropriately diverted. Supply and Demand are not balanced. Potential unmanaged demand.	Review 30.04.10  Caseload stabilise from 1.10.10
1.2 Produce Guidance on Court proposals for PSR writers to support demand management to include: <ul style="list-style-type: none"> <li>CP hours</li> <li>restrictive requirements</li> <li>concordance</li> </ul>	Ability to Engage staff and build confidence to take robust stance with sentencers	LDU Leaders	Sentencing and concordance data demonstrates <ul style="list-style-type: none"> <li>improved targeting of PSR disposals</li> <li>wider variety of requirements used</li> <li>more effective sentencing</li> <li>staff feedback that data is sufficient</li> <li>sentencer feedback that data is sufficient</li> <li>improved use of tagging</li> </ul>	Guidance not produced or poorly communicated, segmented and accurate to allow effective staff engagement and development.	Review by 31.5.10  Revised Guidance May 10
1.3 Commission case load modelling using Resource Allocation Model (RAM) to include, admin, Drug Management Teams (DMT) and Integrated Offender Management (IOM)	BDU capacity to supply data	LDU leaders commission  ACO BDU supplies	<ul style="list-style-type: none"> <li>Increasingly accurate resource and demand planning reviewed by Trust Leadership Team and Board.</li> <li>Action plans produced to further balance supply and demand, reviewed by exception.</li> <li>Case loads of OM / DMT / IOM balanced</li> </ul>	RAM insufficient to model demand scenarios. Inability to balance supply and demand.	Quarterly
1.4 Develop PSR writer confidence and skills to engage robustly with Sentencers to enable <ul style="list-style-type: none"> <li>managed levels of CP hours</li> <li>wider range of effective sentencing options</li> <li>appropriate attachments</li> </ul>	Ability to deliver Court-based PSO FDR writers with support and robust training. Ability to engage staff in change process	LDU leaders and ACO HR	<ul style="list-style-type: none"> <li>Delivery of training and development activity supported by concordance and sentencing data</li> <li>Staff feedback re local dynamic engagement in demand management strategy</li> <li>Staff feedback re improved confidence and skills levels</li> <li>Ongoing training requirements identified in annual appraisal (PPD)</li> </ul>	Training insufficient or unsuitable. Managers unable to engage staff. PSO skills and confidence do not improve Proposals insufficiently robust or appropriate	30.6.10  PPD by 31.3.11

**PRIORITY: 2 Improve Offender Management (OM)**

Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
<p>2.1 Review and improve Public Protection (PP) activity in local partnership to include;</p> <ul style="list-style-type: none"> <li>co-location of services with community partners</li> <li>MAPPA processes</li> <li>OM Staff Skills including Victim awareness</li> <li>OM process / data quality</li> <li>Risk Assessment / Sentence Planning</li> <li>Through the Gate activity, end to end OM</li> <li>focus on outcomes and SFO learning</li> </ul>	Continuously improved work with Custody and other Criminal Justice partners. Structured mechanisms to implement learning	LDU leads MAPPA Co-ordinator	<p>Continuous Improvement of OM services and risk to the public reduced as per</p> <ul style="list-style-type: none"> <li>improved local access for offenders to relevant services</li> <li>SFO process linked to Process Management</li> <li>IPPF PP and Reducing Re-offending (RR) performance including compliance</li> <li>reviewed and improving MAPPA processes</li> <li>staff skills improve</li> <li>improved victim activity in OM</li> <li>PP and RR outcomes identified and linked to known good practice</li> <li>Improved IPP processes</li> </ul>	Public Protection system failure or failure of staff to follow system results in Public Protection Reputational or Financial impact. Reducing Reoffending (RR) measure does not improve with same impact.	<p>MAPPA by June 10</p> <p>SFO as per SFO Board</p> <p>Skills as per workforce plan</p> <p>Reducing Re-offending as per IPPF measure</p>
2.2 Models of Integrated Offender Management (IOM) implemented aligned to each LDU / Local Authority. Practice increasingly integrates into local OM structures. Improved integration of Victims and interventions Services	Ability to engage Police and other local partners. Assumed cost neutral implementation.	LDU leads	<p>Documented Plans, Milestones and Activity to</p> <ul style="list-style-type: none"> <li>increase joint management of offenders at higher risk of re-offending</li> <li>improved access to reducing re-offending pathways and improved outcomes</li> <li>reduced reconvictions levels</li> <li>Stakeholder feedback improves</li> </ul>	Unable to secure partners, sufficient pathway services or agreement on offender targeting and priorities. Plans are not cost neutral. Reduced Impact with performance and reputational damage	31.3.11
2.3 Improved Services for diverse groups, including women, to include contribution to regional activity and local implementation of Eden House project	Women and other service users wish to engage with services	LDU leads	<ul style="list-style-type: none"> <li>contribution to regional / national initiatives</li> <li>IPPF measures re offender and stakeholder feedback</li> <li>improved stratified data analysed and acted upon at local level</li> <li>improved feedback from female offenders</li> </ul>	Inability to engage diverse groups in services based on better stratified local data. Data insufficient. PP and RR impact.	31.10.10
2.4 Use EFQM model to assist in improving service quality including preparation for Offender Management Inspection (OMI)	OMs motivated to engage in quality work with sufficient capacity	ACO BDU and LDU Leads	<ul style="list-style-type: none"> <li>Develop OAsys quality and Offender Feedback measures</li> <li>Documented evidence of OM quality appropriate to both EFQM and OMI</li> </ul>	Managers unable to engage staff in quality projects. Quality insufficient. Poor OMI. Reputation impact.	31.12.10

PRIORITY: 3 Improve Interventions Outcomes					
Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
3.1 Engage fully with Local Area Agreements (LAAs) and other partners to develop diverse, appropriate, efficient and effective projects / Interventions that reflect the demands and priorities of local communities. E.g. Community Payback / ETE projects / Domestic Abuse services at Brigstocke Rd	That priorities of LAAs continue to sit within the scope of Interventions Activity and NOMs priorities.	ACO INT	<ul style="list-style-type: none"> <li>Documented engagement in ASPT Demand Management Strategy and CDRP led Reducing Reoffending Plans</li> <li>Deliver to LAA targets in partnership with the Local Authority (LA )and other stakeholders</li> <li>Improved links with relevant organisations delivering reducing re-offending outcomes e.g. Jobcentre Plus, Supporting People, drug / health agencies including the PCT and LA to enable increasing partner delivery</li> <li>Developed Education, Training and Employment Strategy</li> <li>Data analyses confirms that activity meets diverse needs and has equity of access and outcomes</li> </ul>	ASPT unable to engage partners / communities or that insufficient capacity exists to meet needs of the communities. Partners do not prioritise offender need. Poorer PP and RR outcomes. Performance, Financial and Reputational damage.	<p>As per timescales in other priorities or in partner plans</p> <p>Detailed plan for each intervention or reducing re-offending strand 30.9.10</p> <p>Documented pathway leads for strategy and local delivery 30.4.10</p>
3.2 Ensure that Interventions are 'on tap' to LDUs by <ul style="list-style-type: none"> <li>excellent partnering between LDU and INT including data analysis and internal commissioning</li> <li>develop and improve processes to enable interventions to be responsive to demand</li> <li>develop opportunities to co-locate, co-deliver or jointly develop Interventions with partners / other Probation Trusts to enable efficient local delivery</li> <li>Implement Ashley House AP project</li> </ul>	<p>Ability to locate staff where demand dictates.</p> <p>Ability to influence the expectation of stakeholders to achieve joint aims and objectives.</p>	ACO INT	<ul style="list-style-type: none"> <li>Develop Interventions Champion roles in LDU and link CP Partnership activity to LDU local partnership development</li> <li>Develop clear commissioning cycle between LDU and local Interventions capacity in readiness for ASPT and partner commissioning / Business Planning cycles</li> <li>Improved ability of Interventions to meet the demand of LDU and LAA through increasing use of activity costing (Preview), Best Value reviews and stakeholder feedback</li> <li>Work to reduce waiting times for any intervention</li> <li>Implement the Ashley House AP Project</li> <li>Develop SLAs between the Trust and INT that express performance requirements per LDU (ASPT PQV Board)</li> <li>Develop Joint action plan with other providers (including other Trusts) to co-locate / share premises and share services</li> <li>Documented Identification of commercial opportunities for interventions</li> </ul>	Supply and demand of INT (attachments to orders) is not balanced resulting in inability to respond to LDU or stakeholder requirements. Unable to manage expectations between different LDUs / LA and their priorities. Failure to scan horizon / analyse change and opportunity results in long lead in time to changes in supply (Priority 5). Performance, Financial and Reputational damage.	<p>As per timescales in other priorities</p> <p>Detailed plan for each intervention or reducing re-offending strand as above</p> <p>Implement Ashley House project 30.9.10</p> <p>Commissioning Cycle in place by 30.9.10</p> <p>Commercial opportunities identified by 30.9.10</p>

**PRIORITY: 4 Engage more effectively with communities, stakeholders and staff. Listen to and use feedback. Improve our communications.**

Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
<p>4.1 Building on 09/10 analysis using Balanced Scorecard indicators, and staff feedback:</p> <ul style="list-style-type: none"> <li>• implement improvement actions from staff survey</li> <li>• develop key marketing messages to publicise to partners and community</li> <li>• identify opportunities for shared marketing of key messages to local communities</li> <li>• identify opportunities to make greater use of our expertise in partnership</li> </ul>	<p>Sufficient completion rate of staff survey to deliver valid outputs</p> <p>Staff engagement with marketing activity and service development</p>	<p>Agreed Process Owner in TLT</p>	<ul style="list-style-type: none"> <li>• Action Plan responding to Staff Survey                             <ul style="list-style-type: none"> <li>◦ produced and monitored by Trust Leadership Team and Board</li> <li>◦ Improvement outcomes are clearly communicated to staff</li> <li>◦ Impact of changes are identified and quantified by further feedback</li> <li>◦ Process development required is managed by Change Control Board</li> </ul> </li> <li>• ASPT key marketing messages agreed and shared with stakeholders</li> <li>• Publish '2 sided' version of Business Plan</li> <li>• Feedback system developed</li> <li>• Outcomes fed into ASPT Balanced Scorecard</li> <li>• Income opportunities identified</li> </ul>	<p>Failure to recognise staff engagement as critical requirement for all development projects results in missed opportunity and poor outcomes Reduced ability to generate local engagement. ASPA has reduced impact in the community with less effective outcomes and poor reputation with partners. Operational, financial and performance impact.</p>	<p>As per timescales of action plan.</p> <p>Marketing messages agreed 30.6.10</p> <p>Brief BP published 31.5.10</p> <p>System and opportunities by 31.10.10</p>
<p>4.2 Implement Community Engagement and Stakeholder Communication Strategy in local partnership</p> <ul style="list-style-type: none"> <li>• based on key marketing messages above.</li> <li>• focus on CDRP partners and Sentencers as per Priority 1</li> <li>• integrate into EFQM quality work and IPPF and IPPF requirements</li> </ul>	<p>Ability of ASPT to engage stakeholders</p>	<p>Agreed Process Owner in TLT</p>	<ul style="list-style-type: none"> <li>• Strategy / Action Plan designed in partnership with                             <ul style="list-style-type: none"> <li>◦ Staff</li> <li>◦ Criminal Justice Board (Confidence and Diversity sub group)</li> <li>◦ CDRP partners particularly police, local authority and local Reducing Re-offending Partners</li> </ul> </li> <li>• Strategy / Action Plan aligns to national initiatives e.g. Justice Seen Justice Done</li> <li>• Staff survey cost / capacity recognised as recurrent annual activity</li> <li>• DOM relationship improved</li> </ul>	<p>Capacity and ability of ASPA staff to undertake activity. Good public protection and reduced re-offending work goes un noticed. Reputation of Probation and the value of community sentencing not increased. Public Confidence does not improve.</p>	<p>31.3.11</p>
<p>4.3 Ensure Engagement Strategy and action plan is able to be measured by stakeholder feedback and evaluated by community confidence measures in partnership</p>	<p>Ability to share police and local authority mechanisms</p>	<p>CO</p>	<ul style="list-style-type: none"> <li>• Strategy and action plan has agreed outcomes with police and local authority</li> <li>• Evidenced use of partner mechanisms</li> <li>• Design initial feedback data loops to include Safer Stronger activity / PACT groups etc.</li> <li>• Integrate BDU data / quality mechanisms</li> <li>• Documented feedback from partners / staff re potential opportunities reviewed by COG</li> </ul>	<p>Engagement Strategy and Plan can not demonstrate effectiveness. Potential waste of resource if not properly focussed. Community feedback not integrated into planning. ASPT not able to realise benefit.</p>	<p>31.3.11</p>

**PRIORITY: 5 Develop the Financial Capabilities of ASPT Staff including the implementation and identification of non process savings**

Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
<p>5.1 Implement and continue to identify projects for non process savings and improvements including</p> <ul style="list-style-type: none"> <li>estates and travel</li> <li>use of the RAM tool</li> <li>IT recharge and OMNI-T data projects</li> <li>preparation for National Case management System</li> </ul> <p>Communicate these to staff.</p>	<p>Ability of ASPT to engage staff and NOMS to deliver migration to National Data Centres.</p> <p>ASPT technical and operational staff working closely together</p>	<p>ACO BDU and Director of Finance</p> <p>And Operational Process Owners</p>	<p>Savings / productivity delivered through</p> <ul style="list-style-type: none"> <li>Estates Strategy phase 2</li> <li>Offender and Staff Travel reductions</li> <li>Staffing aligned to RAM model</li> <li>Develop IT Strategy developed as per Audit requirements and reduce the volume of Steria recharged equipment and services</li> <li>Reduced email traffic and storage requirements</li> <li>ASPT Data Restructured and Reduced (Document Management)</li> <li>Staff Communication Plan delivered</li> </ul>	<p>Inability to engage staff with revised proposals. Impact is inconsistent due to poorly implemented plans. Staff are not aware of developments and full cost savings or opportunities for improvement are not met. Impact is potential waste and less competitiveness. Financial, Commercial.</p>	<p>31.3.11</p>
<p>5.2 Review skills development required to enable LDU staff to improve finance, cost and commissioning capability as required by ASPT Scheme of Delegation, LDU Devolved Budget Scheme and Financial Procedures</p>	<p>Ability / capacity to review skills levels, identify development requirement and deliver learning</p>	<p>Agreed Process Owner in TLT</p>	<ul style="list-style-type: none"> <li>All staff have skills reviewed as part of appraisal process with costing and business skills needs identified</li> <li>Finance Business Partners support Budget Holders and help identify development needs</li> <li>PPDs include learning required</li> <li>Development Training / support provided</li> <li>Feedback from staff confirms improved skill level</li> <li>Relevant Policies are publicised and understood</li> </ul>	<p>Insufficient or unsuitable development opportunities result in poor skills development. Impact staff unable to capitalise on appropriate delegated freedom / accountability within LDU or function. Financial and Business Development Risk</p>	<p>Annual cycle in line with appraisal and training plan</p>
<p>5.3 Devolved Budgets are monitored and reviewed as per the LDU Devolved Budget Scheme and Financial Procedures with a requirement to make all agreed savings, achieving financial balance and maintaining cohesion of Trust activity. Reviewed by Audit and Performance, Quality and Value (PQV) Board</p>		<p>All Budget Holders</p>	<ul style="list-style-type: none"> <li>Budget holders / managers meet regularly with Business Partners from Corporate Services</li> <li>Budgets are maintained within required tolerances</li> <li>Action Plans are produced when Budgets are outside of tolerance</li> <li>Verbal update at each COG to enable cohesion of Planning e.g. recruitment / development opportunities</li> <li>Quarterly business plan / financial review</li> <li>Half yearly formal review in preparation for Corporate Business Planning</li> </ul>	<p>Devolved budgets are poorly managed or developments are fragmented and don't add value to each other across the Trust. Opportunities to deliver benefit and cashable savings are missed. Financial and Business Development Risk</p>	<p>Budgets on a monthly cycle</p> <p>Development coordinated no less than quarterly</p> <p>Action Plans, Developments and Financial plans review by Audit and PQV Board</p>

**PRIORITY: 6 Apply Process Management principles to ASPT delivery to ensure ongoing efficient and effective service development**

Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
6.1 Maintain and improve high levels of performance. Continue to develop Performance Management Framework as required by ASPT Performance, Quality and Value (PQV) Board (also see Priority 8)	National Development of IPPF remains with deliverable tolerances of current targets.	ACO BDU for system  All ACOs for each area of performance	<ul style="list-style-type: none"> <li>Sustained performance at Green or Green Star as determined by the Board.</li> <li>Performance Management System / targets properly designed, managed and devolved to LDUs</li> <li>Performance leads clearly identified in LDU</li> <li>Documented Scrutiny by the PQV Board</li> <li>Quantified data quality improvement to include corporate services as well as operations as per Audit</li> </ul>	Budget restraints and scale of change has negative impact on ability to sustain performance. Ownership is not properly defined. Performance is poor. Reputational, operational and financial impact.	From 30.6.10
6.2 Implement Process Management (PM) approach: <ul style="list-style-type: none"> <li>embed Change Control Board (CCB)</li> <li>Process Improvement specified by the SBC programme &amp; CCB</li> <li>link to PREVIEW activity costing work and identify differences</li> <li>build on existing process workshop skills</li> <li>continue Best Value reviews</li> </ul>	<p>Full engagement of Area Management Group and staff.</p> <p>Availability of Process Officer capacity.</p> <p>Agreement with unions over timing or role changes in improved processes</p>	ACO BDU	<ul style="list-style-type: none"> <li>CCB re-launched with Process Owner input</li> <li>Control Architecture agreed by TLT and signed off by CCB</li> <li>Process Management Project Plans delivered as agreed by TLT and Board</li> <li>Required savings / benefits realisation achieved from Process Improvement</li> <li>IT Change Process implemented and reviewed</li> <li>Implement Action Plans for 09/10 Best Value reviews</li> <li>Best Value reviews as required by DOM</li> <li>Document ed Benchmarking Activity</li> </ul>	<p>Delayed implementation due to</p> <ul style="list-style-type: none"> <li>lack of ownership</li> <li>lack of capacity</li> <li>inability to engage unions and staff in innovation timing / staff grade changes</li> </ul> <p>Improved process not identified or implemented. Efficiency not improved. Benefit not realised.</p>	<p>Control Architecture and Communication Plan 31.5.10</p> <p>Project Plans within agreed timescales</p> <p>Best Value improvement as per action plans</p>
6.3 Develop the use of PREVIEW Costing System aligned to activity costing in Nimbus Control and Best Value reviews. Communicate results to staff. Engage staff with the creation and execution of any required improvement plan.		<p>Change Control Board</p> <p>PREVIEW Board</p>	<ul style="list-style-type: none"> <li>Corporate Action Plan for PREVIEW Implementation using workshop format / skills developed during Best Value reviews 09/10</li> <li>Change Control Board / PREVIEW Board oversee activity and required process is documented</li> <li>Outcomes reported to TLT, Audit Committee and Board and fed into Balanced Scorecard</li> <li>Communication Plan implemented. Staff aware of cost base.</li> <li>Remedial / development activity undertaken to reduce costs as required</li> </ul>	Insufficient staff engagement to enable accurate activity costing baseline. Impact is poor decision making related to cost base and reduced business capability	<p>PREVIEW workshops May - July</p> <p>Outcomes to Board Sept Action qtr 3/4</p> <p>Best Value at timescales of DOM and SBC</p> <p>Comms 1.6.10</p>

**PRIORITY: 7 Increase inward investment and maximise the use of commissioning with a focus on LDUs**

Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
7.1 Commissioning Policy consulted with community partners. Commissioning related business processes and paperwork designed and communicated to staff. Key commissioning outcomes achieved for 10/11.	Ability to engage community partners and their capacity to engage	ACO Finance and BDU for structure  with LDU leads for content and services	<ul style="list-style-type: none"> <li>Internal (e.g. Interventions) and external Commissioning processes mapped and published on Nimbus Control.</li> <li>Business Case paperwork used routinely</li> <li>Policy consulted with identified Stakeholders (LDU lead)</li> <li>Policy / paperwork approved by Board</li> <li>Alcohol Services commissioning planned with partners by end QTR 2</li> </ul>	Commissioning Policy, process or paperwork is insufficient. Trust not able to commission high quality services and outcomes. Negative impact on Operational outcomes but particularly Reducing Re-offending. Operational, Finance and Reputational impact.	Process on Control 31.10.10  System design BDU / INT June 10 Stakeholder work LDUs Aug 10
7.2 Potential joint / co-commissioning partners identified and activity designed to enable full engagement with stakeholder business planning by Sept 2010	Ability to engage community partners and their capacity to engage		<ul style="list-style-type: none"> <li>Specific agreement with designated partners e.g. PCT re alcohol services</li> <li>Public Protection and Reducing Reoffending outcomes secured in partnership</li> <li>ASPT internal data analysis and planning complete and ready to integrate with Stakeholders planning for 11/12</li> </ul>	ASPT continue to commission 'as is' and in isolation - failure to improve through innovation and capitalise on opportunities to increase inward investment both in cash and services. Impact is less effective PP and RR outcomes and reputational.	Documentation and data prepared and available by 15.9.10
7.3 Best Value activity identifies if external commissioning could improve services	LDU leaders committed to Improving Value project to support innovation	Board Chair and CEO	<ul style="list-style-type: none"> <li>Best Value process mapped to include challenge and innovation within Trust / LDU</li> <li>Innovation routinely includes documented consideration of options to improve services by increased partnership / joint working / joint commissioning /</li> </ul>	ASPT do not properly integrate Best Value and innovation with commissioning process to maximise the value and quality of outcomes commissioned	31.12.10
7.4 ASPT build capability to capitalise on opportunity from <ul style="list-style-type: none"> <li>Social Enterprise (SE) status</li> <li>Income Generation</li> <li>Capacity Generation</li> <li>Current external accreditation</li> <li>EFQM and other future accreditation</li> </ul>		TLT  Restore Trust ACO INT  NOMS ESF ACO BDU	<ul style="list-style-type: none"> <li>Income / capacity generation system designed and implemented</li> <li>ASPT implement systems to maximise Restore Trust outcomes</li> <li>ETE Strategy produced June 10</li> <li>EFQM accreditation achieved with Strengths and weaknesses available for 11/12 Business Planning</li> <li>Scope other accreditation opportunities</li> <li>ASPT able to maximise outcome opportunities from NOMS co financing</li> </ul>	ASPT not able build capability. Failure to recognise commercial opportunities results in wasted resource or delay, not able to meet bidding requirements. Corporate or Operational Service quality not able to be evidenced. Competitiveness compromised. Financial and Reputational impact.	System BDU by 31.7.10  ETE strategy June 10  EFQM Oct 10  ESF CFO May 10

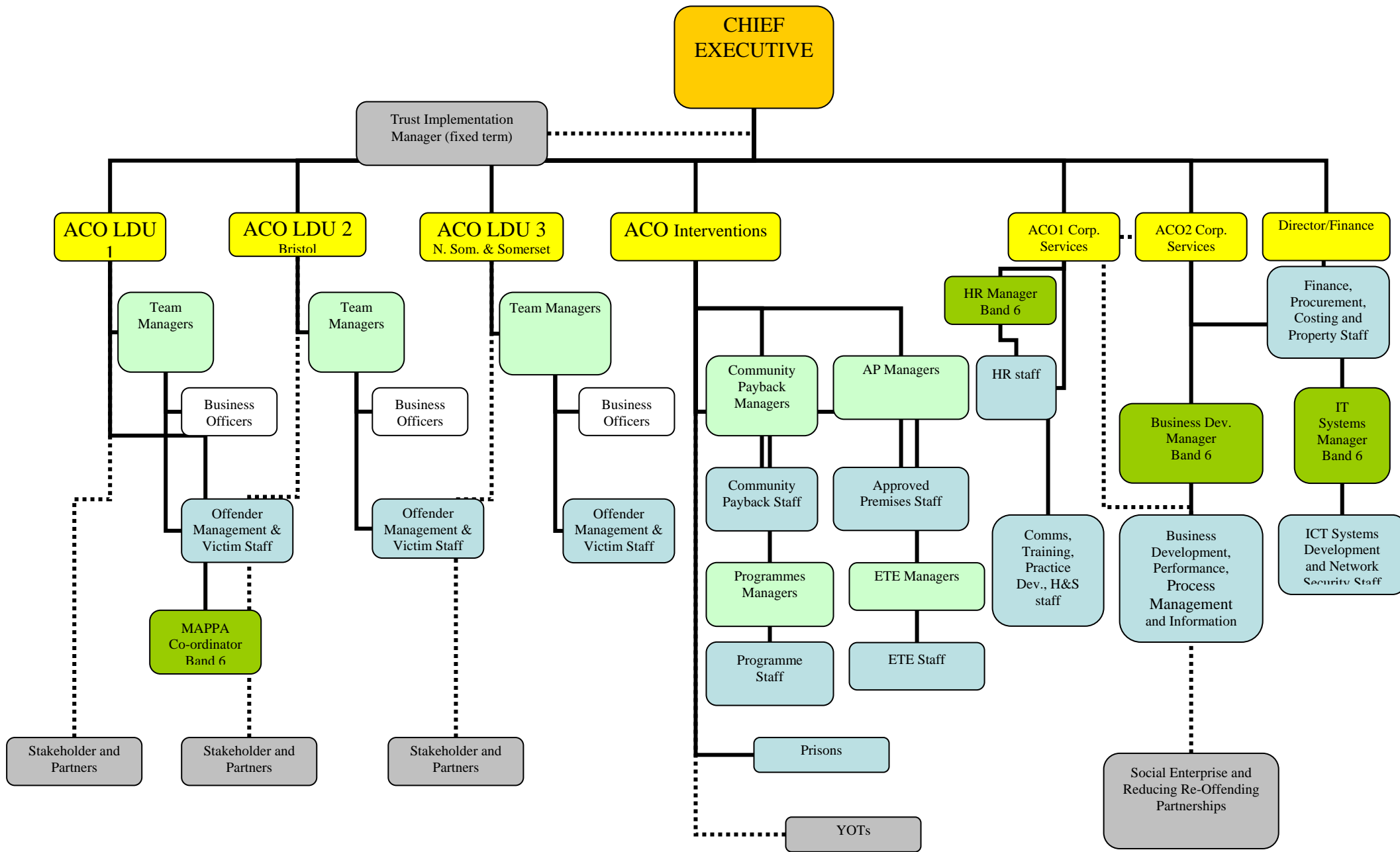
**PRIORITY: 8 Coordinate a range of Performance, Quality and Value projects monitored by the ASPT Balanced Scorecard**

Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
<p>8.1 Using the ASPT Performance Quality and Value Board to monitor the following activity</p> <ul style="list-style-type: none"> <li>Prioritise key Balanced Score Card (BSC) developments and monitor their implementation</li> <li>Link to PREVIEW, EFQM and OMNI-T</li> </ul>	Board and executive capacity and system development to enable appropriate coordination	Board Chair and CEO	<ul style="list-style-type: none"> <li>Board Members identified to lead on Balanced Scorecard and PREVIEW development</li> <li>Work undertaken to develop key priority metrics in each quadrant                             <ul style="list-style-type: none"> <li>Improving performance</li> <li>Improving Value</li> <li>Improving Stakeholder Engagement</li> <li>Improving Business Capability</li> </ul> </li> <li>Improvements delivered from analysed data</li> <li>Process improvements referred to CCB</li> <li>Evidence available for EFQM accreditation</li> </ul>	Performance, Quality and Value Projects are fragmented and do not complement each other. Governance is not properly integrated. Communication is confused or lacking and project outcomes are jeopardised. Impact is Performance, financial, commercial and reputational	<p>Board members identified April 10</p> <p>Metrics by 30.5.10</p> <p>EFQM evidence by 30.9.10</p>
<p>8.2 Integration of all Performance, Quality and Value projects -see Priorities 5, 6 and 7 above:</p> <ul style="list-style-type: none"> <li>use Board, Audit and PQV Board scrutiny</li> <li>integrate documentation and communication plans</li> <li>improve use of TLT and CCB processes by the executive</li> </ul>	Board and executive capacity and system development to enable appropriate coordination	CEO and Board Chair	<ul style="list-style-type: none"> <li>Coordination assured through appropriate Board scrutiny</li> <li>Increased operational input into improvement projects</li> <li>Staff engagement recognised as success factor</li> <li>Appropriate Project Documentation available</li> <li>Agreed and integrated communication strategies where no change implemented without communication in agreed format</li> <li>Corporate commitment to standardisation of good practice and further Innovation</li> </ul>	ASPT Governance and Change Control insufficient to manage wide range of critical projects over 3 devolved LDUs, Interventions and Corporate function. Approach is fragmented, ineffective and inefficient. Performance, financial and reputational risk	Using timetable of Governance and Strategic activity
<p>8.3 Quality Initiatives to adopt structured approach and Cross Reference evidence between Trust Application, EFQM, ISO 18001, Matrix, OMI and future planned development</p>	Capacity to ensure grid is kept up to date	CEO	<ul style="list-style-type: none"> <li>Robust use of EFQM RADAR methodology</li> <li>All TLT, Board Papers to be protectively marked, communicated and stored appropriately as evidence</li> <li>Develop cross functional staff teams, releasing them as appropriate</li> <li>Recognition of staff contribution</li> <li>Achievement of EFQM accreditation</li> </ul>	Projects result in duplication or produce outputs and outcomes that are not utilised and organised. Accreditation is not achieved. Performance, Financial and Reputational impact	RADAR used by TLT from 30.6.10 Accreditation by 31.10.10
<p>8.4 Reduce, re-structure and increase ease of access to all ASPT information systems while strengthening Information Assurance. Prepare for Delius.</p>		ACO BDU with all Process Owners	<ul style="list-style-type: none"> <li>Produce ICT, Information and Knowledge Strategy including Data protection issues.</li> <li>Delius Transformation Board established</li> <li>Staff engagement in development</li> <li>Successful data migration to NDCs</li> <li>Reduced Information assurance incidents</li> </ul>	ASPT ICT systems do not develop to reflect Trust structures. Delius can not be implemented. Efficiency gains not met. Financial and Reputational impact	<p>Strategy by 31.5.10</p> <p>Delius Board by 17.5.10</p> <p>Migration July 11</p>

**PRIORITY: 9 Improve Support for Offender Management System (All Corporate Services)**

Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
<p>9.1 Support the OM system to deliver and communicate the improvement objectives in 10/11 Business Plan:</p> <ul style="list-style-type: none"> <li>• devolved budgets</li> <li>• commissioning</li> <li>• performance management</li> <li>• resource modelling</li> <li>• process management</li> <li>• quality and value projects</li> <li>• workforce planning</li> <li>• marketing and community engagement</li> <li>• Information Assurance</li> <li>• Project Systems (Nimbus Control / PREVIEW)</li> <li>• RAM modelling</li> <li>• Business Risk assessment</li> </ul>	<p>Proper engagement of both operational and corporate services staff</p>	<p>ACO HR ACO BDU</p> <p>Director of Finance</p>	<ul style="list-style-type: none"> <li>• Business Partnering Model implemented for all support services</li> <li>• Sustainable and lean systems / frameworks and communication established to support operational engagement with these topics</li> <li>• Representation at DOM / NOMs level to influence development of these topics</li> <li>• Corporate Services management staff to be available in operational offices to discuss development projects</li> <li>• Use of Process Management to identify suitable process targets for corporate services resulting in simple performance measures</li> <li>• Support Services performance improved using Service Level Agreements (SLAs) with specific deliverables for the Trust, LDUs and Interventions services</li> <li>• Responsive helpdesk and IT products and services catalogue produced</li> <li>• Training feedback</li> <li>• Capacity modelling using RAM and other mechanisms</li> </ul>	<p>Lean and focussed LDU structures can not undertake all required improvement activity without appropriate support. Similarly for interventions. Corporate capacity and support is insufficient to enable cycle of improvement or appropriate communication is poor. Impact is performance, Financial, commercial and reputation risk as operations are not as effective or efficient as required by contract or communities.</p>	<p>Partnering by 30.4.10</p> <p>Office visit schedule by 17.5.10</p> <p>Process work as per CCB project schedule</p> <p>SLA by 30.6.10</p> <p>Products and Services Catalogue by 30.6.10</p>
<p>9.2 Develop MYHR and Health &amp; Safety database to</p> <ul style="list-style-type: none"> <li>• Improve business capability</li> <li>• Identify commercial opportunities</li> </ul>		<p>ACO BDU</p> <p>ACO HR</p>	<ul style="list-style-type: none"> <li>• Documented and costed development targets</li> <li>• Establishment of MY HR user group</li> <li>• Commercial scoping of ASPT owned systems that could be of value to other Trusts, partners, NOMs</li> </ul>	<p>System development is not appropriately focussed or subject to user feedback. Potential market opportunity missed. Performance, commercial and financial impact.</p>	<p>Targets by 31.5.10</p> <p>User group by 31.5.10</p> <p>Scoping by 31.5.10</p>
<p>9.3 Improve overall contingency planning:</p> <ul style="list-style-type: none"> <li>• Business Contingency Plan (BCP) reviewed and tested</li> <li>• Horizon Scanning to establish opportunity and threats</li> </ul>	<p>Capacity to undertake scanning</p>	<p>TLT</p>	<ul style="list-style-type: none"> <li>• BCP reviewed, consulted and improved</li> <li>• Rolling programme of BCP scenario testing annually</li> <li>• Link scenario planning to Horizon Scanning to improve agility</li> <li>• Business opportunities identified</li> <li>• Potential Competitor / partner register established</li> </ul>	<p>Without effective BCP and horizon scanning opportunities and threats can not be identified or appropriately utilised or mitigated. Capacity not allocated. Risks remain unscoped. ASPT remains vulnerable.</p>	<p>RAM tools annual review cycle</p> <p>BCP annual review cycle 31.3.11</p>

PRIORITY: 10 Invest more effectively in staff through a refreshed Staff Development and Training Plan					
Activity / Milestone	Dependencies	Owner	Measurable Outcome	Risk	By When
9.1 Refresh and deliver the change programme to develop the staffing / skills / HR policy elements of the Organisational Development Plan (ODP) and 10/11 Business Plan		ACO HR	<ul style="list-style-type: none"> <li>Change Programme action plan reviewed and developed to include recruitment strategy</li> <li>Communication strategy reviewed with feedback from staff and stakeholders</li> <li>Development of full staff engagement strategy with consultation mechanisms rewards and recognition schemes and innovation awards</li> </ul>	Conflicting priorities within statute or national changes impact on delivery of the ODP and BP. Capacity in HR is insufficient to deliver the stated objectives.	31.3.11
9.2 Further develop skills required to enable Trust staff to participate in the 10/11 Business Plan and Organisational Development Plan Priorities	Ability / capacity to assess skills levels, identify development requirement and deliver.  Delivery of PQF by NOMS	ACO HR	<ul style="list-style-type: none"> <li>All managers in Trust have further business development support</li> <li>Local Delivery of PQF identified and developed</li> <li>PPDs include learning required</li> <li>Revised staff development initiatives introduced to maximise knowledge and skills</li> <li>Leadership skills analysed and developed with Trust culture reflected in job descriptions</li> </ul>	Insufficient or unsuitable development opportunities result in poor staff skills development. Delays in the development of the PQF could lead to skills shortage in delivering the programme or in providing adequate Probation Officers after 2011. Impact Business Plan and development priorities not met	Annual review cycle as part of ODP review
9.3 Determine developments which will strengthen LDU. Refresh Employment Policy and staff support / benefit systems.	Capacity limits in time of significant change	TLT	<ul style="list-style-type: none"> <li>Employment Relations, Employee Benefits and People Management Policies revised in Trust context</li> <li>Prioritise activity and map / publish key policy procedures on Control</li> <li>Develop recruitment and retention mechanisms to reflect diverse LDU communities</li> </ul>	LDU structures and Trust policy and systems do not continue to improve. Poor morale, staff retention, performance reputation.	Annual review cycle as part of BP review
9.4 Ensure that staff are able to work safely and contribute to effective implementation of Trust Policy		ACO HR	<ul style="list-style-type: none"> <li>Continue programme of health and safety (H&amp;S) support</li> <li>Introduction of Health and Safety performance monitoring at the Performance Value and Quality Board</li> <li>Prepare for renewed assessment of ISO 18001 criteria</li> </ul>	Inadequate management of priorities results in inadequate deployment of health and safety and other policy required practices. Impact is potential financial and reputation risk	Publishing Cycles



**APPENDIX 3: RISK REGISTER – TOP 10 SUMMARY**

<b>C</b>										
<b>BUSINESS PLAN OBJECTIVE</b>	<b>Risk No</b>		<b>RISK CAT</b>	<b>RISK DESCRIPTIONS</b>	<b>RISK STATUS AS AT 01/04/10 FOR ACTIVITY 10/11</b>					<b>Financial Appraisal of Risk</b>
					<b>Likelihood</b>	<b>Impact</b>	<b>Risk Rating</b>	<b>Change in Risk Rating</b>	<b>Action Owner</b>	
<p><b>Emerging risks to be reported at Trust Leaderships Team on bi-weekly basis. Dynamic risk review will enable the impact of new variables to be taken into account and risk ratings reviewed quarterly for escalating or reducing risk. Quarterly reviews to be reported to Board and Audit Committee and published on ASPIC. Risks will be escalated to Commissioners as required. Risk topics to be discussed in team meetings as is appropriate. Risks on QTR 4 09/10 Register will be integrated and presented to Board on 13/5/2010</b></p>										
<p><b>Risk Key: Operational including Delivery and the Achievement of Performance Outcomes (OP); Financial (F); Reputational (R); Legislative (L); Public Protection (PP), Technological (T), Commercial / Competitive (C)</b></p>										
1.1 Fully implement Demand Management and Sentencer Engagement Strategies including <ul style="list-style-type: none"> <li>• work with HMCS &amp; Judges to increase FDRs at Crown Court</li> <li>• feedback on strategic approach</li> <li>• diversion of appropriate offenders</li> </ul>	1		OP R F	Inability to engage sentencers in long term strategy. Offenders not appropriately diverted. Supply and Demand are not balanced. Potential unmanaged demand. Impact is compromised achievement of outcomes, reputational and financial.	M	VH	21		LDU Leads	yes
2.1 Review and improve Public Protection (PP) activity in local partnership to include; <ul style="list-style-type: none"> <li>• co-location of services with community partners</li> <li>• MAPPA processes</li> <li>• OM Staff Skills including Victim awareness</li> <li>• OM process / data quality</li> <li>• Risk Assessment / Sentence Planning</li> <li>• Through the Gate activity, end to end OM</li> <li>• focus on outcomes &amp; SFO learning</li> </ul>	5		OP F PP R C	Public Protection system failure or failure of staff to follow system results in Public Protection, Reputational or Financial impact. Reducing Reoffending measure does not improve with same impact. Commercial / competitive impact is possible in competitive environment.	L	VH	20		LDU Leads MAPPA Coordinator	in progress

<p>7.2 Potential joint / co-commissioning partners identified and activity designed to enable full engagement with stakeholder business planning by Sept 2010</p>	21	OP PP R C	<p>ASPT continue to commission 'as is' and in isolation - failure to improve through innovation and capitalise on opportunities to increase inward investment both in cash and services. Impact is less effective Public Protection and Reducing Reoffending outcomes, reputational and commercial.</p>	L	VH	<b>20</b>		TLT	in progress
<p>3.2 Ensure that Interventions are 'on tap' to LDUs by:</p> <ul style="list-style-type: none"> <li>• excellent partnering between LDU and INT including data analysis and internal commissioning</li> <li>• develop and improve processes to enable interventions to be responsive to demand</li> <li>• develop opportunities to co-locate, co-deliver or jointly develop Interventions with partners / other Probation Trusts to enable efficient local delivery</li> <li>• Implement Ashley House AP project</li> </ul>	10	OP F R	<p>Supply and demand of INT (attachments to orders) is not balanced resulting in inability to respond to LDU or stakeholder requirements including sentencers. Unable to manage expectations between different LDUs / LA and their priorities. Failure to scan horizon / analyse change and opportunity results in long lead in time to changes in supply. Ashley House implementation has specific risks - see separate risk. Impact is Performance, Financial and Reputational damage.</p>	M	H	<b>19</b>		ACO Interventions	in progress
<p>4.1 Building on 09/10 analysis using Balanced Scorecard indicators, and staff feedback:• implement improvement actions from staff survey• develop key marketing messages to publicise to partners and community • identify opportunities for shared marketing of key messages to local communities• identify opportunities to make greater use of our expertise in partnership</p>	11	OP F R C	<p>Failure to recognise staff engagement as critical requirement for all development projects results in missed opportunity and poor outcomes Reduced ability to generate local engagement. ASPA has reduced impact in the community with less effective outcomes and poor reputation with partners. Impact is Operational, Financial, Reputational and potentially Commercial</p>	L	H	<b>16</b>		Agreed Process Owner in TLT	in progress

5.3 Devolved Budgets are monitored and reviewed as per the LDU Devolved Budget Scheme and Financial Procedures with a requirement to make all agreed savings, achieving financial balance and maintaining cohesion of Trust activity. Reviewed by Audit and Performance, Quality and Value (PQV) Board	16		OP F C	Devolved budgets are poorly managed or developments are fragmented and don't add value to each other across the Trust. Opportunities to deliver benefit and cashable savings are missed. Operational, Financial and Commercial impact.	L	H	16		Budget Holders	in progress
6.2 Implement Process Management (PM) approach: <ul style="list-style-type: none"> <li>• embed Change Control Board (CCB)</li> <li>• Process Improvement specified by the SBC programme &amp; CCB</li> <li>• link to PREVIEW activity costing work and identify differences</li> <li>• build on existing process workshop skills</li> <li>• continue Best Value reviews</li> </ul>	18		OP F R C	Delayed implementation due to <ul style="list-style-type: none"> <li>• lack of ownership</li> <li>• lack of capacity</li> <li>• inability to engage unions and staff in innovation, timing / staff grade changes.</li> </ul> Improved process not identified or implemented. Efficiency not improved. Benefit not realised. Impact is Operational, Financial, Reputational and Commercial. I	L	H	16		ACO BDU for system All ACOs for each Process	in progress
7.4 ASPT build capability to capitalise on opportunity from <ul style="list-style-type: none"> <li>• Social Enterprise (SE)</li> <li>• Income Generation</li> <li>• Capacity Generation</li> <li>• Current external accreditation</li> <li>• EFQM and other future accreditation</li> </ul>	23		F R C	ASPT not able build capability. Failure to recognise commercial opportunities results in wasted resource or delay, not able to meet bidding requirements. Corporate or Operational service quality not able to be evidenced. Competitiveness compromised. Impact is Financial, Reputational and Commercial.	L	H	16		TLT Restore Trust ACO INT NOMS ESF ACO BDU	in progress

<p>8.2 Integration of all Performance, Quality and Value projects -see Priorities 5, 6 and 7 above:</p> <ul style="list-style-type: none"> <li>• use Board, Audit and PQV Board scrutiny</li> <li>• integrate documentation and communication plans</li> <li>• improve use of TLT and CCB processes by the executive</li> </ul>	25		OP F R L C	<p>ASPT Governance and Change Control insufficient to manage wide range of critical projects over 3 devolved LDUs, Interventions and Corporate function. Approach is fragmented, ineffective and inefficient. Local and Trust priorities not balanced. Corporate Governance suffers. Impact is Performance, Financial, Reputational and potentially Legislative and Commercial</p>	L	H	16		Board Chair and CEO	in progress
<p>8.4 Reduce, re-structure and increase ease of access to all ASPT information systems while strengthening Information Assurance including Data Protection requirements. Prepare for Delius.</p>	27		OP F T R L	<p>ASPT ICT systems do not develop to reflect Trust structures. Delius can not be implemented. Efficiency gains not met. Impact is Operational, Financial, Technological, Reputational and potentially Legislative</p>	L	H	16		ACO BDU with all Process Owners	in progress
<p>9.1 Support the OM system to deliver and communicate the improvement objectives in 10/11 Business Plan:• devolved budgets • commissioning• performance management• resource modelling• process management• quality and value projects• workforce planning• marketing and community engagement• Information Assurance • Project Systems (Nimbus Control / PREVIEW)• RAM modelling• Business Risk assessment</p>	28		OP F C R	<p>Lean and focussed LDU structures can not undertake all required improvement activity without appropriate support. Similarly for interventions. Corporate capacity and support is insufficient to enable cycle of improvement or appropriate development or communication is poor. Impact is Performance, Financial , Commercial and Reputation as operations are not as effective or efficient as required by contract or communities.</p>	L	H	16		ACO HR ACO BDU Director of Finance	in progress

#### APPENDIX 4: BUSINESS PLAN REVIEW STRUCTURE

<b>ASPT Business Plan (BP) Review Cycle</b>			
<b>Activity</b>	<b>Outcome</b>	<b>Timescale</b>	<b>Owner</b>
1 Review and refresh stakeholder analysis in line with single equalities scheme and Community Engagement Policy. Seek comment about future ASPT priorities.	Updated views from ASPT stakeholders and community partners. Align to ASPT objectives as appropriate.	Oct 10	ASPT Comms Officer
2 Undertake ASPT PEST / SWOT analysis	Updated analysis of business development opportunities & risks	Oct 10	TLT
3 Review current BP progress and achievements:	Identification of new issues / dependencies / risks to inform future planning	By end Nov 10	TLT
4 Refresh 4Yr Strategic Plan with Board and consult 11/12 annual plan with headline proposed aims / objectives and activities for coming year from SWOT / PEST, BP review and stakeholder views.	Refreshed overall aims and strategic 'direction of travel' in light of stakeholder views and likely budget . Draft 11/12 plan	Strategic Review and outline Plan by Dec 10	ACO BDU
5 Circulate document for final comments from stakeholders including staff and diversity groups as identified by refreshed stakeholder analysis	Ensure that ASPT aims are integrated into wider community development aims and those of Criminal Justice partners	End Jan 11	ASPT Comms Officer
6 Integrate planning into final Contract negotiation with DOM and other Commissioners	Ensure contract negotiations take account of wider community feedback and ASPT aims	Jan / Feb 11	ACO BDU
7 Draft BP to Board for approval	Governance	March 11	CEO
8 Create summarised version for communication purposes with staff and stakeholders – or include as exec summary as appropriate	Communication / Marketing	April 11	Comms Officer / ACO BDU
9 Final BP and / or summary version 'circulated to stakeholders	Community / Stakeholder Engagement	April / May 11	Comms Officer / TLT

## APPENDIX 5: 2010/11 BUSINESS PLAN BACKGROUND DATA

NB. Percentage figures in this report will have been subject to rounding, which may mean totals will not always exactly add up to 100%

### 1. Avon and Somerset demographics

#### 1.1. Population, Area, Density, Deprivation

	Population	% of ASPT total	Size – km <sup>2</sup>	People per Hectare	England Prosperity/ Deprivation Ranking*
<b>Bath &amp; NE Som.</b>	169,039	12%	351	4.9	14 <sup>th</sup>
<b>Bristol</b>	380,596	26%	117	34.8	101 <sup>st</sup>
<b>North Somerset</b>	188,560	13%	391	5.0	33 <sup>rd</sup>
<b>Somerset</b>	463,047	32%	3,471	1.4	38 <sup>th</sup>
<b>Sth Gloucs</b>	245,612	17%	523	4.9	9 <sup>th</sup>
<b>Avon &amp; Somerset</b>	<b>1,446,854</b>	<b>100%</b>	<b>4,853</b>		

(2001 census data, 2007 Indices of Deprivation)

\*Ranking out of 149 English counties and unitary authorities, 1<sup>st</sup> least deprived, 149<sup>th</sup> most deprived.

Avon and Somerset has a growing population of 1,446,854, the 10<sup>th</sup> largest population covered by any Probation area in England and Wales. It's made up of five areas covered by Local Area Agreements; Bath and North East Somerset, Bristol, North Somerset, Somerset and South Gloucestershire.

Table 1.1 shows that Somerset and Bristol are the most populous parts of Avon and Somerset and that there is a huge contrast in size and population density between Bristol and Somerset in particular.

South Gloucestershire, Bath and NE Som and Nth Somerset are in the 1<sup>st</sup> quartile (top 25%) of least deprived areas in England. Somerset is not far behind in the second quartile and Bristol is the 3<sup>rd</sup> quartile. None are in the bottom quartile. However beneath these overall figures four parts of Bristol – Lawrence Hill, Southmead, Filwood, and Whitchurch Park – are in the 1% most deprived areas of England. Parts of Weston Super Mare, Bridgwater and Taunton are in the 10% most deprived areas.

### 1.2. Ethnicity of Population

	White	Asian	Mixed	Black	Chinese & Other
<b>Bath &amp; NE Som.</b>	97.2%	0.5%	1.0%	0.5%	0.8%
<b>Bristol</b>	91.8%	2.9%	2.1%	2.3%	0.9%
<b>North Somerset</b>	98.6%	0.3%	0.6%	0.1%	0.4%
<b>Somerset</b>	98.8%	0.3%	0.5%	0.2%	0.3%
<b>Sth Gloucs.</b>	97.7%	0.7%	0.8%	0.4%	0.5%
<b>Avon &amp; Som</b>	<b>96.6%</b>	<b>1.1%</b>	<b>1.0%</b>	<b>0.8%</b>	<b>0.6%</b>
<b>England</b>	<b>90.9%</b>	<b>4.6%</b>	<b>1.3%</b>	<b>2.3%</b>	<b>0.9%</b>

(2001 census data)

Compared with the figures for England, Avon and Somerset is considerably less ethnically diverse. Of the five areas, Bristol is closer to the England average.

## Crime and Sentencing

### 2.1. Recorded Crime in Avon and Somerset

	2006/07	2007/08	2008/09
<b>Numbers</b>	160,425	144,970	138,970
<b>% annual change</b>		<i>Down 10%</i>	<i>Down 4%</i>

Data from Home Office website, *Crime in England & Wales* publication.

2009/10 recorded crime data is yet to be published but we expect it to show a continued downward trend, an interesting contrast to the rise in Probation caseload shown later in the report.

## 2.2. Magistrates' Court Sentencing Data (Indictable & Either Way cases)- 2008

	Number Sentenced	% Immediate Custody	% Community sentences	% Fine	% Discharged	% Other
<b>Bath &amp; Wandsdyke</b>	614	15%	41%	14%	20%	10%
<b>Bristol</b>	2,767	15%	33%	14%	18%	20%
<b>North Avon</b>	620	11%	44%	19%	19%	7%
<b>North Somerset</b>	526	14%	40%	21%	15%	9%
<b>Sedgemoor</b>	354	11%	43%	19%	19%	9%
<b>South Somerset</b>	532	7%	42%	20%	22%	8%
<b>Taunton Deane &amp; W. Som.</b>	524	12%	32%	21%	23%	11%
<b>Avon &amp; Somerset</b>	<b>5,942</b>	<b>13%</b>	<b>37%</b>	<b>17%</b>	<b>19%</b>	<b>14%</b>
<i>England &amp; Wales</i>		14%	38%	21%	17%	10%

Ministry of Justice website, 2008 Criminal Justice Statistics

There is a fair spread of sentencing outcomes in the Magistrates' Courts in Avon and Somerset, as would be expected in such a large and varied area dealing with different sorts of crime. Overall the use of discharged and other are a little higher than the England and Wales average and the use of fines a little lower.

## 2.3. Crown Court Sentencing Data (Indictable & Either way cases) - 2008

	Number Sentenced	% Immediate Custody	% Community sentences	% Suspended sentence	% Other
<b>Bristol and Taunton</b>	1,923	52%	20%	19%	8%
<i>England &amp; Wales</i>		55%	17%	20%	8%

Ministry of Justice website, 2008 Criminal Justice Statistics

Avon and Somerset Crown Courts use Community sentences a little more than the England and Wales average and Custody a little less.

a. Pre-Sentence Report (PSR) proposed sentence vs. actual Court sentence – Apr 09-Mar10

		SENTENCE						
		Community Order	Custody	Suspended	Discharge	Fine	Total	Count
<b>PSR PROPOSAL</b>	<b>Community Order</b>	<u>69%</u>	12%	18%	1%	0%	100%	<b>3,327</b>
	<b>Custody</b>	6%	<u>86%</u>	7%	0%	1%	100%	<b>456</b>
	<b>Suspended</b>	12%	35%	<u>51%</u>	2%	1%	100%	<b>165</b>
	<b>Discharge</b>	27%	3%	10%	<u>46%</u>	15%	100%	<b>116</b>
	<b>Fine</b>	40%	8%	8%	4%	<u>42%</u>	100%	<b>53</b>
	<b>Total</b>	<b>58%</b>	<b>21%</b>	<b>18%</b>	<b>2%</b>	<b>1%</b>	<b>100%</b>	<b>4,117</b>
	<b>Count</b>	<b>2,385</b>	<b>847</b>	<b>733</b>	<b>93</b>	<b>59</b>	<b>4,117</b>	

ASPT internal data, may differ from final Ministry of Justice statistics. "Other" proposals and sentences excluded from table.

Key points to note are that despite being proposed on relatively few occasions this year (165), Suspended Sentences are still being used in large numbers by sentencers (733). This is the key reason why concordance on Community Orders isn't higher (69%). Custody sentences are very much in line with proposals however.

### 3. Offender Caseload data

#### 3.1. Total Offenders Supervised

	Avon & Somerset	% annual change	England & Wales	% annual change
<b>Mar 08</b>	4,934	+14%	244,287	+3%
<b>Mar 09</b>	5,358	+9%	244,290	0%
		+7%	242,228**	-1%

<b>Mar 10</b>	5,707*			
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Probation Statistics Quarterly Brief, Ministry of Justice website. \*Provisional figure maybe subject to revision, \*\* Sept 09 figure used as most recent available.

Avon and Somerset has seen a dramatic rise in total offenders supervised in the past 3 years, far more than the England and Wales trend over the same period, though the increase is beginning to slow.

### 3.2. Offenders Supervised by Order Type

	<b>Community Orders</b> <i>(incl Suspended)</i>	<b>% annual change</b>	<b>In Custody</b> <i>("Pre-Release")</i>	<b>% annual change</b>	<b>On Licence</b> <i>("Post-release")</i>	<b>% annual change</b>
<b>Mar 07</b>	2,738		1,157		454	
<b>Mar 08</b>	3,057	+12%	1,391	+20%	514	+13%
<b>Mar 09</b>	3,396	+11%	1,388	0%	621	+21%
<b>Mar 10*</b>	3,489	+3%	1,365	-2%	853	+37%

Probation Statistics Quarterly Brief, Ministry of Justice website. \*Provisional figures may be subject to revision. Sum total of types may differ slightly from overall total because of offenders with multiple types of orders being counted more than once.

Numbers of offenders supervised On Licence continues its rapid increase as those in Custody drop.

### 3.3. Offenders supervised by Risk of Harm (Tier 4 highest risk, tier 1 lowest)

	<b>Count</b>	<b>% of total</b>
<b>Tier 4</b>	1,041	18%
<b>Tier 3</b>	2,294	40%
<b>Tier 2</b>	1,205	21%
<b>Tier 1</b>	1,115	20%
<b>Total (incl 57 other)</b>	<b>5,707</b>	<b>100%</b>

ASPT internal data, may differ from final Ministry of Justice statistics

More risky cases (3 and 4 together) are well over half of all our work at 58%.

### 3.4. Offenders supervised by gender

	<b>Count</b>	<b>% of total</b>
<b>Male</b>	5,160	90%
<b>Female</b>	547	10%
<b>Total</b>	<b>5,707</b>	<b>100%</b>

*ASPT internal data, may differ from final Ministry of Justice statistics*

Offenders are overwhelmingly male.

### 3.5. Offenders supervised by age at commencement

	<b>Count</b>	<b>% of total</b>
<b>&lt;20</b>	665	12%
<b>20-24</b>	1,307	23%
<b>25-29</b>	996	17%
<b>30-34</b>	772	14%
<b>35-39</b>	660	12%
<b>40-44</b>	589	10%
<b>45-49</b>	332	6%
<b>50-54</b>	183	3%
<b>55-59</b>	113	2%
<b>60+</b>	90	2%
<b>Total</b>	<b>5,707</b>	<b>100%</b>

*ASPT internal data, may differ from final Ministry of Justice statistics*

Offenders are younger rather than older though 48% are 30 or over though on commencement.

### 3.6. Offenders supervised by local authority area

	<b>Count</b>	<b>% of total</b>
<b>Bath &amp; NE Som.</b>	489	9%
<b>Bristol</b>	2,704	47%
<b>North Somerset</b>	634	10%
<b>Somerset</b>	1,298	23%
<b>South Gloucestershire</b>	582	11%
<b>Total</b>	<b>5,707</b>	<b>100%</b>

*ASPT internal data, may differ from final Ministry of Justice statistics*

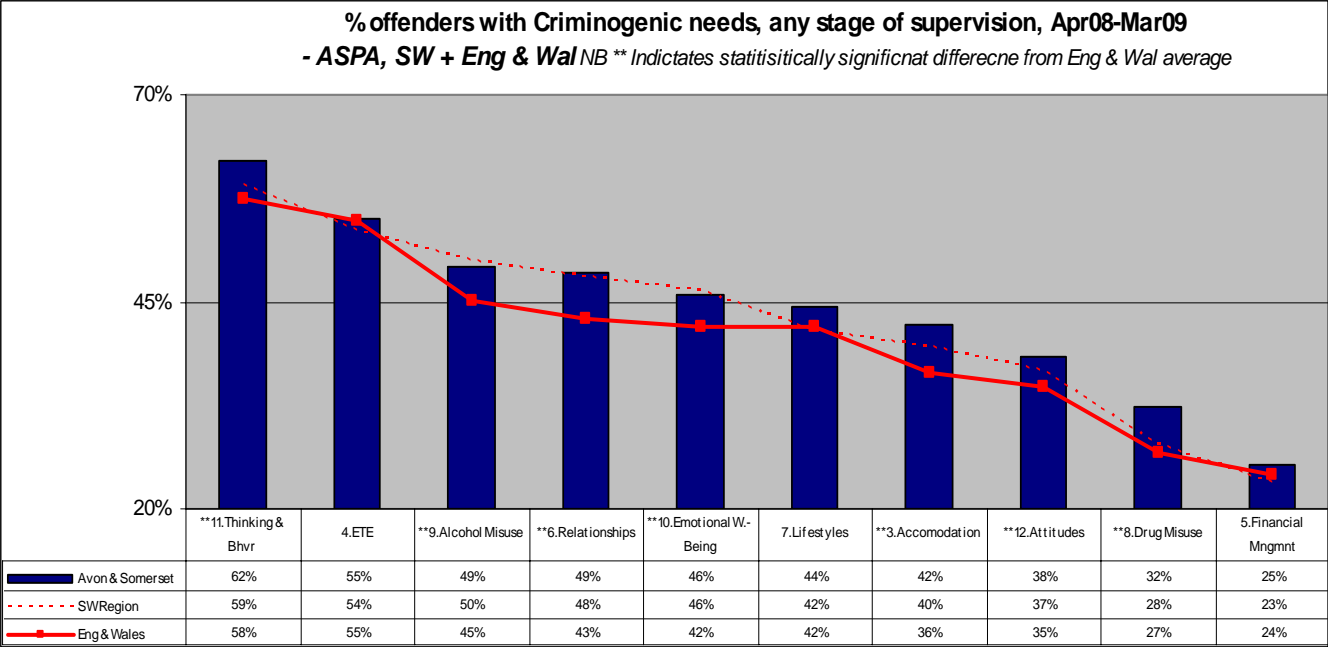
### 3.7. Offenders supervised by ethnicity

	<b>Count</b>	<b>% of total</b>
<b>Asian</b>	105	2%
<b>Black</b>	404	7%
<b>Mixed</b>	222	4%
<b>Not Stated</b>	160	3%
<b>Other</b>	48	1%
<b>White</b>	4,768	84%
<b>Total</b>	<b>5,707</b>	<b>100%</b>

*ASPT internal data, may differ from final Ministry of Justice statistics*

We have a very low number of refused and missing ethnicity codes, helping to give confidence to the ethnic breakdown generally. Note the over-representation of the Black offenders, particularly compared with the population figures given in previous tables. This sort of finding is not specific to the Probation Service or to the Avon and Somerset Criminal Justice System. To tackle the issue ASPT have helped the Avon and Somerset Criminal Justice Board pioneer a multi-agency approach to this issue, combining ethnicity monitoring data across all Criminal Justice agencies in the area. This is providing a powerful tool to identify the key parts in the Criminal Justice process where we have to be certain that the best non-discriminatory practice is being followed. As a result of this analysis PSR proposals are being focussed on, as a crucial part of the Probation part in tackling this issue.

**a. Offender needs analysis**



*ETE = Education, training and employment.*

The chart above is taken from OASYS assessments of offenders. Few OASYS assessments are made on Tier 1 offenders, so this data is skewed to more high risk offenders. The percentages show what the statistically significant elements contributing to the risk each offender poses. You can see how that ASPT offenders are in general “riskier” than regional and England and Wales averages as there % scores are higher.

## 4. Staff Profile

### 4.1. Staff breakdown

	<b>% Female</b> (51%)	<b>% BME</b> (3.5%)	<b>% LGBT</b> (6%)	<b>% with Disability</b> (16%)	<b>Average Age</b>	<b>Total Staff</b>
Senior Management	56%	0.0%	6%	11%	49	18
Middle Managers	51%	4.3%	0%	6%	49	47
Probation Officers	67%	9.3%	2%	12%	43	140
Probation Service Officers	59%	9.0%	2%	6%	43	164
Administration & Other	75%	8.8%	4%	9%	41	170
<b>Total</b>	<b>65%</b>	<b>8.2%</b>	<b>3%</b>	<b>9%</b>	<b>43</b>	<b>539</b>

*Internal ASPT staffing data except. Figures in brackets are census based figures for Avon and Somerset (female, BME) or South West (LGBT, Disability) population.*

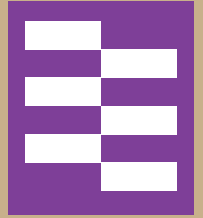
There is are more women than men at all tiers of staff, though at the management level the difference is slight and at the Probation Officer and Administration level it is considerable. Black and Minority Ethnic (BME) staff are well- represented in comparison with the BME population of Avon and Somerset, though there is a notable tailing off of representation the more senior the position. Lesbian, Gay, Bi-Sexual and Transgender (LGBT) are under-represented compared with the regional population figure. The lack of Middle Manager representation is notable. Note however the data for this has a high proportion of not stated (around 59% of staff) so has to be treated cautiously. Finally the percentage of staff considering themselves disabled is less than regional population average and this under-representation occurs across all grades.

## APPENDIX 6: ASPT POLITICAL, ECONOMIC, SOCIAL AND TECHNOLOGICAL (PEST) ANALYSIS

POLITICAL	ECONOMIC	SOCIAL	TECHNOLOGICAL
<ul style="list-style-type: none"> <li>▪ Change of Government (May 2010 at the latest)</li> <li>▪ Election purda at the time of transition</li> <li>▪ Probation Trust issues not a priority for new government to resolve compared to e.g. economy</li> <li>▪ Political handling of SFOs, signal either support or not for probation</li> <li>▪ Potential change of stance regarding mergers or shared services as a mechanism to save money / reduce waste</li> <li>▪ Mixed political messages if crime rises due to economic situation and demand needs to be managed – prison overcrowding re-emerges as the priority</li> <li>▪ Requirement to manage prisons and probation differently, recognising their different governance arrangements</li> <li>▪ LAA refresh, competing government departmental priorities with reduced resource</li> <li>▪ Local political leaderships (LDUs) resistant to probation issues as other priorities dominate</li> <li>▪ Drive to increasingly consider private and third sector providers</li> <li>▪ DOMs and their real ability to develop / manage regionally – balancing central, regional and local control</li> <li>▪ New training arrangements</li> </ul>	<ul style="list-style-type: none"> <li>▪ Repayment of government borrowing and impact on public expenditure</li> <li>▪ CSR, 2011 - 2014</li> <li>▪ Impact of local probation potential 20% - 30% budget reductions over three years (actual reductions, pay awards, bills, etc)</li> <li>▪ Recession / economic slowdown and impact on crime and opportunities for resettlement</li> <li>▪ Pay negotiations 10/11, 11/12</li> <li>▪ Uncertainty of financial carry forward 'permissions' – the current Budget Exchange Scheme. Will surpluses be clawed back or will trusts be allowed to operate as social enterprises?</li> <li>▪ Financial pressures on partners</li> <li>▪ Drive of private sector to build their market and operate 'loss leader' models</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sentencing – increasing demand</li> <li>▪ Rising crime, especially acquisitive as reaction recession – new increases in burglary and theft</li> <li>▪ Bradley Report and impact on mental health / DSPD offender services</li> <li>▪ Women offenders – working with potentially lower risk but higher needs</li> <li>▪ Unemployment</li> <li>▪ Refocus on alcohol services</li> <li>▪ Police targets; priority of terrorism</li> <li>▪ Dealing with violence – especially Bristol</li> <li>▪ Local CDRP Responses to Reducing Re-offending measure that does not appropriately focus on serious crime and can be skewed by lower risk but more frequent acquisitive behaviours</li> <li>▪ Prison expansion – shift further away from community provision</li> <li>▪ Impact of Integrated OM when rolled out over 5 Local Authorities</li> <li>▪ Safeguarding – priority of child protection and full integration of policy affecting vulnerable adults</li> <li>▪ Flu Pandemic</li> </ul>	<ul style="list-style-type: none"> <li>▪ ASPT unique information system and the transition to National Case Management System</li> <li>▪ IT connectivity to partners</li> <li>▪ IT impact on ASPT's ability to compete in an open market e.g. Skills Funding Agency requirements</li> <li>▪ Management of the IT contracts – central / regional / local</li> <li>▪ Management of the estates contract – central / regional / local</li> <li>▪ Contracting and procurement with other providers</li> </ul>

## APPENDIX 7: GLOSSARY

ACO	Assistant Chief Officer	PCT	Primary Care Trust
APM	Area Performance Manager	PP	Public Protection
ASPA	Avon & Somerset Probation Area	PPD	Performance & Personal Development
ASPT	Avon & Somerset Probation Trust	PQF	Probation Qualification Framework
AT	Assistive Technology	PPO	Prolific & other Priority Offenders
BDU	Business Development Unit	PQQ	Pre-Qualifying Questionnaire
BV	Best Value	PQV Board	Performance Quality and Value Board
CA	Case Admin	PSO	Probation Service Officer
CCB	Change Control Board	PSR	Pre-Sentence Report
CDRP	Crime and Disorder Reduction Partnership	RAM	Resource Allocation Model
CEO	Chief Executive Officer	RR	Reducing Re-Offending
CMS	Case Management System	SBC	Specification & Benchmarking & Costing Programme
CSR	Comprehensive Spending Review	SE	Social Enterprise
DOM	Director of Offender Manager	SFOs	Serious Further Offences
ETE	Education, Training & Employment	SLA	Service Level Agreement
FDR	Fast Delivery Reports	TLT	Strategic Management Team
HMCS	Her Majesty's Court Service	ToR	Terms of Reference
INT	Interventions		
IOM	Integrated Offender Management		
IPPF	Integrated Probation Performance Framework		
KM	Knowledge Management		
LA	Local Authority		
LAA	Local Area Agreement		
LDU	Local Delivery Unit		
MAPPA	Multi Agency Public Protection Agency		
NDC	National Data Centres		
NOMS	National Offender Management Service		
ODP	Organisational Development Plan		
OM	Offender Management		



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Protecting the public and reducing crime:  
Working with partners to serve victims and communities



AGE POSI+IVE



gender  
Advisory  
bureau

