

# Probation Circular



## PC09/2008 – ANNUAL REPORTS AND ACCOUNTS 2007/08

**IMPLEMENTATION DATE:** 14 May 2008

**EXPIRY DATE:** 31 March 2009

**TO:** Chairs of Probation Boards, Chief Officers of Probation, Secretaries of Probation Boards

**CC:** Board Treasurers, Improvement and Development Managers

**AUTHORISED BY:** Natasha Garnham, Performance Management Unit

**ATTACHED:** Annex A – Format and Content of the Annual Report and Accounts

Annex B – Annual Report Template

Annex C – Equality Impact Assessment Form

### RELEVANT PREVIOUS PROBATION CIRCULARS

PC14/07

### CONTACT FOR ENQUIRIES

[Ed.Stradling@justice.gsi.gov.uk](mailto:Ed.Stradling@justice.gsi.gov.uk) or 020 7035 6145

## PURPOSE

To inform areas of the content, format and timetable for submission of annual reports and accounts for 2007-08.

## ACTION

Areas should prepare their annual reports and accounts in accordance with framework set out within this circular and the guidance supplied by the NOMS Finance Unit.

Areas should send a single copy of the audited annual report and accounts in hard copy to NOMS Finance Unit by 27 June 2008 and in electronic format to Ed Stradling, NOMS Performance Management Unit, by the same date ([Ed.Stradling@justice.gsi.gov.uk](mailto:Ed.Stradling@justice.gsi.gov.uk)).

## SUMMARY

The format for annual reports for 2007-08 takes account of the requirement to adhere to the principles outlined within the Treasury Financial Reporting Manual for 2007-08 (FReM). These stipulate that a management commentary should encompass both reporting elements within a single document. Details of the requirements in terms of content are attached at Annex A.

A report template is attached at Annex B, should areas wish to use it.

## **Format and Content of the Annual Report and Accounts**

In accordance with current Treasury guidelines, the annual report and accounts for 2007-08 will comprise a single document made up of two parts:

- Part 1 will contain the Management Commentary upon performance. As in previous years, the metrics are arranged under the EFQM Excellence Model results headings. These headings are provided as a guide only and are not mandatory.
- Part 2 will comprise the Management Commentary upon finance, together with the audited statement of accounts, which must be produced using the Statement of Accounts 2007-08 template supplied by NOMS Finance and in accordance with the guidance contained within the foreword and section 7.2 of the Government Financial Reporting Manual (FReM). This may be found at: <http://www.financial-reporting.gov.uk/2007-08%20FReM.pdf>

In addition to the full report, areas may also wish to produce a condensed version with a summary of accounts for circulation to other organisations and stakeholders that might not wish to see the full statement (though areas can make arrangements for the full statement to be made available to those that request it). However, **the summary must not replace the full annual report, which must contain the unabridged accounts as required by the Treasury.**

Areas should send a further copy of their full annual report to each of the following:

Kay Wood (a single hard copy only)  
NOMS Finance  
3rd Floor Fry, NW Quarter  
2 Marsham Street  
London SW1P 4DF

Paul Cockburn  
HM Inspectorate of Probation  
2<sup>nd</sup> Floor  
Ashley House  
2 Monck Street  
London  
SW1P 2BQ

The Improvement & Development Manager for the Region  
The Regional Offender Manager

Areas are also asked to send a copy of the summary report (or the full report if no summary is produced) to NOMS Communications Team, 1<sup>st</sup> Floor, Abell House.

To assist in production of the finished document areas can use the electronic template as has been available in previous years.

## **Content of the Report**

Areas should include in the report the sections outlined below.

### **INTRODUCTION**

#### **Aims of the National Probation Service and NOMS**

### **MANAGEMENT COMMENTARY PART 1: OPERATIONAL AND PERFORMANCE REVIEW**

#### **A. Enablers:**

*A commentary upon the operating environment during 2007/08 in respect of Leadership, Policy & Strategy, People Management (including actions to comply with the National Health and Safety Policy), Partnerships & Resources and Processes **which enabled the performance results to be achieved.***

In completing this section areas may find it helpful to refer to the examples of 'areas to address' given in the *Guide to the Use of the EFQM Excellence Model ® in the National Probation Service.*

***Areas should refer specifically to how they have addressed the improvement priorities identified in their area plan for 2007/08.***

*Please note that a foreword on behalf of the Chief Officer is no longer required.*

#### **B. Results**

*A report of the area's achievements in 2007/08.*

This should include results for the specific Performance Metrics set out below under each results section plus any local targets from the area plan for 2007/08.

#### **Performance Metrics 2007/08:**

##### **Customer Results**

<b>Reference:</b>	<b>Description of Metric:</b>
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<b>R&amp;C1</b>	[x]% of victims to be contacted within eight weeks of an offender receiving 12 months or more for a serious sexual or violent offence
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<b>R&amp;S12</b>	Number of referrals to LSC (in the community)
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<b>PT 9</b>	Number of unemployed offenders gaining employment against target.
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<b>R&amp;S2</b>	[x] offenders under supervision sustain employment for 4 weeks
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<b>R&amp;S16</b>	[X]% of offenders living in settled and suitable accommodation at the end of their order or licence
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## People Results

### Reference: Description of Metric:

- Proportion of race and ethnic monitoring data on (a) staff and (b) offenders which is returned on time and using the correct (Census 2001) classifications (Target = 95%).
- Reduce sickness absence in the National Probation Service to an average of 9 days per member of staff per year.

## Society Results

### Reference: Description of Metric:

Any local targets which apply.

## Key Performance Results

### Reference: Description of Metric:

<b>RR1</b>	Reduce the rate of re-offending whilst under the supervision of probation
<b>PP1</b>	At least [x]% of OASys assessments must be completed or updated within the appropriate timescales (X days following sentence or release on licence for all <b>Tier 4</b> cases (excluding PPOs)
<b>OM1</b>	At least [x]% of OASys assessments must be completed or updated within the appropriate timescales (X days following sentence or release on licence for all <b>Tier 1 (where appropriate), Tier 2 and Tier 3</b> cases
<b>RR2</b>	At least [x]% of OASys assessments must be completed or updated within the appropriate timescales (X days following sentence or release on licence for all <b>PPO</b> cases.
<b>DoJ8</b>	[x]% of Pre Sentence Reports (PSRs) are completed as below: <ul style="list-style-type: none"><li>• FDRs within timescales agreed by LCJB</li><li>• SDRs (not remanded in custody) within timescales agreed by LCJB</li><li>• SDRs when remanded in custody within timescales agreed by LCJB</li><li>• SDRs requested by Commissioning Court within timescales agreed by LCJB</li></ul>
<b>DoJ13</b>	To maintain at below [x]% the proportion of unpaid work offender days which are lost because of stand-downs - either on the day or notified in advance
<b>DoJ15</b>	Number of successful completions of Unpaid Work against target.
<b>DoJ6</b>	Achieve an average of [x] working days from the relevant unacceptable failure to comply to resolution of cases; and to resolve [x]% of breaches of community penalties within [x] working days of the relevant unacceptable failure to comply.(CJS measure)
<b>DoJ5</b>	Initiation of breach proceedings in accordance with National Standards within 10 working days in [x]% of cases.
<b>DoJ1</b>	The percentage of arranged appointments which the offender attends in the first 26 weeks to be no fewer than [x]%.
<b>DoJ4</b>	The percentage of cases that reach the six months stage without requiring breach action (no second unacceptable failure to comply with an order, no third unacceptable failure to comply with a licence) to be no fewer .
<b>DoJ9</b>	[x%] of orders and licences successfully completed
<b>R&amp;S6</b>	[x%] of offenders are retained on DTTO/DRR for 12 weeks

<b>R&amp;S7</b>	[x] offenders start a DTTO/DRR
<b>R&amp;S18</b>	[x] number of accredited programme completions against target (excluding sex offender treatment programmes and domestic violence programmes).
<b>R&amp;S13</b>	[x] number of accredited offending behaviour programmes completed by offenders
<b>R&amp;S20</b>	[x] number of accredited programmes for domestic violence completed by offenders

### **C. Workload and Activity Statistics**

- Commencements by type of order/ licence.
- Caseload at 31.03.08 compared to 31.03.07 by type of order/ licence.
- Court Reports produced by type (FDR, SDR etc)
- Unpaid Work hours ordered/worked (incl. CPO and CPRO).
- Victims: the total number contacted within 8 weeks of sentence.
- To include trends over previous five years (where available)

### **D. Names of Board Members & Official Contact Address**

## **MANAGEMENT COMMENTARY PART 2: FINANCIAL REVIEW & REMUNERATION REPORT 2007/08**

*(Using the 2007/08 template and guidance forwarded to Boards by NOMS Finance)*

- Part 2 will comprise the Management Commentary upon finance and will contain the audited statement of accounts, which must be produced using the Statement of Accounts 2007-08 template referred to above
- **Full supplementary guidance on issues which should be covered when reporting on annual accounts may be found in *Section 7.2, The Annual Report of the Government Financial Reporting Manual (FReM)* and may be accessed via the attached hyperlink. <http://www.financial-reporting.gov.uk/2007-08%20FReM.pdf>**

### **Deadlines for submission**

27 June 2008 – Final Audited Annual report and accounts to NOMS Finance Unit; and electronic version to [Ed.Stradling@justice.gsi.gov.uk](mailto:Ed.Stradling@justice.gsi.gov.uk) in NOMS Performance Management Unit.



xxxxxxx Probation Board

# ANNUAL REPORT

2007-08

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Processes

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# Introduction

## **Aims of the National Probation Service & NOMS**

# Management Commentary Part 1: Operational and Performance Review

## **A. Enablers**

**Leadership**

**Policy and Strategy**

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# Management Commentary Part 2: Financial Review & Remuneration Report

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**Pension Liabilities**

**Appointments**

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**External Accountability**

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**Statement of Accountable Officer's Responsibilities**

## **Statement of Internal Control**

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## **Equality Impact Assessment**

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The EIA Report

<b>EQUALITY IMPACT ASSESSMENT</b>
Group
Directorate
Performance Management Unit

### PRELIMINARY SCREENING

<b>Date of Screening</b>	23 April 2008
<b>Name of Policy Writer</b>	Ed Stradling
<b>Director General</b>	<b>Phil Wheatley</b>

PC09/2008 – Annual Reports & Accounts 2007/08		This is a <b>new</b> policy
		This is a <b>change</b> to an existing policy
	<b>Yes</b>	This is an <b>existing</b> policy

### Policy Aims, Objectives & Projected Outcomes

To inform probation areas of the content, format and timetable for submission of annual reports and accounts for 2007/08.

Will the policy have an impact on national or local people/staff?	NO
Are particular communities or groups likely to have different needs, experiences and/or attitudes in relation to the policy	NO
Are there any aspects of the policy that could contribute to equality or inequality?	NO
Could the aims of the policy be in conflict with equal opportunity, elimination of discrimination, promotion of good relations?	NO
If this is an amendment of an existing policy, was the original policy impact assessed?	NO

If your answer to any of these questions is **YES**, go on to the full EIA.

If you have answered **NO to any particular questions**, please provide explanatory evidence.

If you have answered **NO to all of these questions** then you must also attach the following statement to all future submissions that are related to this policy and ensure it is signed off by senior management. You must also include this statement within any regulatory impact assessment that is related to this policy.

**“This policy was screened for impact on equalities on 24 April 2008. The following evidence [Evidence] has been considered. As a result of this screening, it has been decided that a full equality impact assessment is not required. “**

### Evidence to Support Preliminary Screening

The circular updates guidance that was issued in 2007. There are no significant changes. The screening undertaken at that time therefore still applies.

## FULL IMPACT ASSESSMENT

### STATISTICS & RESEARCH

**What relevant quantitative & qualitative data do you have in relation to this policy?**

Please site any quantitative (e.g. statistical research) and qualitative evidence (monitoring data, complaints, satisfaction surveys, focus groups, questionnaires, meetings, research interviews etc) of communities or groups having different needs, experiences or attitudes in relation to this policy area.

<b>Equality Target Areas</b>	<b>How does the data identify potential or known positive impacts?</b>  <b>How does the data identify any potential or known adverse impacts?</b>
<b>Race</b> (consider e.g. nationalities, Gypsies, Travellers, languages)	
<b>Disability</b> (consider social access and physical access)	
<b>Gender</b>	
<b>Gender Identity</b>	
<b>Religion and Belief</b>	
<b>Sexual Orientation</b>	
<b>Age</b>	

<p><b>What research have you considered commissioning to fill any data gaps?</b></p> <p>For example, you may need to ensure quantitative &amp; qualitative data groups include stakeholders with respect to this policy. N.B Include any recommendations in your action plan</p>

<p><b>Who are the stakeholders, community groups, staff or customers for this policy area?</b></p>

<p><b>What are the overall trends and patterns in this qualitative &amp; quantitative data?</b></p> <p>Disproportionality; regional variations; different levels of access, experiences or needs; combined impacts.</p>

<p><b>Please list the specific equality issues that may need to be addressed through consultation (and further research)?</b></p>
<ul style="list-style-type: none"><li>•</li></ul>     

## **GATHERING EVIDENCE THROUGH COMMUNITY ENGAGEMENT**

**INTERNAL STAKEHOLDER ENGAGEMENT:** Consulting & involving Other Government Departments, Staff, Agencies & NDPBs

<b>Does this policy affect the experiences of staff? How? What are their concerns?</b>	
<b>Staff</b>	
<b>Staff Networks &amp; Associations</b>	
<b>Trade Unions</b>	

**How have you consulted, engaged and involved internal stakeholders in considering the impact of this proposal on other public policies and services?**

For example your policy may affect access to housing, education, health, employment services.

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**What positive and adverse impacts were identified by your internal consultees? Did they provide any examples?**

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**Feedback the results of this internal consultation and use it as a basis for work on external consultation**

**EXTERNAL CONSULTATION & INVOLVEMENT**

<b>How did your engagement exercise highlight positive and negative impacts on different communities?</b>	
<b>Voluntary Organisations</b>	
<b>Race</b>	
<b>Faith</b>	
<b>Disability Rights</b>	
<b>Gender</b>	
<b>Gender Identity</b>	
<b>Sexual Orientation</b>	
<b>Age</b>	

**Feedback the results of your community engagement (i.e. involvement and consultation) to all participants including internal and external stakeholders**

## ASSESSMENT & ANALYSIS

**Does the EIA show a potential for differential impact on any group(s) if this proposal is introduced? If Yes, state briefly whether impact is adverse or positive and in what equality areas.**

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**What were the main findings of the engagement exercise and what weight should they carry?**

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**Does this policy have the potential to cause unlawful direct or indirect discrimination? Does this policy have the potential to exclude certain group of people from obtaining services, or limit their participation in any aspect of public life?**

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**How does the policy promote equality of opportunity?**

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**How does your policy promote good relations? How does this policy make it possible for different groups to work together, build bridges between parallel communities, or remove barriers that isolate groups and individuals from engaging in civic society more generally?**

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**How can the policy be revised, or additional measures taken, in order for the policy to achieve its aims without risking any adverse impact?**

--

**Are there any concerns from data gathering, consultation and analysis that have not been taken on board?**

Please justify and explain the reason for your decision.

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## ENSURING ACCESS TO INFORMATION

**How can you ensure that information used for this EIA is readily available in the future?**

(N.B. You will need to include this in your action plan)

- 

**How will you ensure your stakeholders continue to be involved/ engaged in shaping the development/ delivery of this policy?**

(N.B. You will need to include this in your action plan)

- 

**How will you monitor this policy to ensure that the policy delivers the equality commitments required?**

(N.B. You will need to include this in your action plan)

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**Now submit your EIA and related evidence to the Equality & Diversity Unit for quality assurance and clearance.**

## ACTION PLAN

<b>Recommendations</b>	<b>Responsibility</b>	<b>Actions required</b>	<b>Success Indicators</b>	<b>Target Date</b>	<b>What progress has been made?</b>
Data Collection					
Publication Arrangements					
Monitoring & Review Arrangements					
List other recommendations that are required					

**Please ensure that the action plan is agreed by your Director/ Minister**

## **THE EQUALITY IMPACT ASSESSMENT REPORT**

The EIA report is a concise summary of the results of your EIA work. You should ensure that you cover the topics described below.

### **Background:**

- Context of policy/programme
- Link to strategic aims and objectives
- Scope of the EIA work (e.g. if linked to previous EIA or work delivered by another Government Department)

### **Methodology:**

- Approach to data collection and analysis
- Results of consideration of existing evidence

### **Consultation & Involvement:**

- Stakeholder/community involvement in developing proposals
- List of organisations engaged (optional)

### **Assessment & analysis**

- Key Findings from the data collection and community engagement
  - Positive impacts: existing or potential
  - Adverse impacts: existing or potential

### **Recommendations**

- Describe how you will respond to the key findings by:
  - strengthening the potential for positive impact,
  - removing areas that may exacerbate or engender adverse impact
  - including measures to mitigate any adverse impact that may occur
  - including measures that ensure ongoing compliance with statutory obligations
  - monitoring arrangements
  - ensuring continued public access to information about the policy/programme.
  - action plan (optional)

### **Date of EIA Report**

### **Date of Publication of Results**

**Ensure that the EIA Report is published on the NOMS/ MoJ website before your policy/programme is implemented.**