



NATIONAL PROBATION SERVICE
for England and Wales

National Directorate

National Probation Service

Performance Report I

January 2002

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NATIONAL DIRECTOR

Introduction

The National Probation Service (NPS) was formed on 1 April 2001 under the Criminal Justice and Court Services Act. This fundamental reform was intended to create a significant criminal justice organisation capable of delivering credible, effective community based offender corrections and specified victims services.

This is the first performance report. It will be produced monthly to track and report on this initial 3-year change programme, entitled "A New Choreography". It will contain short, headline reports on the 5 major areas of change for which hard-edged targets or service delivery agreements have been set. Other important aspects of organisational re-engineering will also be presented from time to time.

These reports will be widely circulated with the intention of meeting the New Choreography's expressed commitment to open, transparent accountability as a public service.

The information is collected by the National Directorate but the originators of the data are the 42 local areas. Validation processes have been agreed. The information is collected using paper-based returns as we do not yet have electronic systems capable of delivering it. The movement from 54 different systems to single national monitoring systems is a substantial collective achievement.

In its first 9 months, the National Probation Service has undergone fundamental reconstruction, the detailed finessing of which will still continue for some time. The volume and pace of change has been, and will continue to be, relentless. The 8 areas undergoing complex amalgamations have been particularly pressed. BUT THERE HAS BEEN NO BREAK in business continuity and this is a major achievement across the whole organisation.

Having now established important baselines we are in a position to monitor performance trends throughout the 3-year change programme.

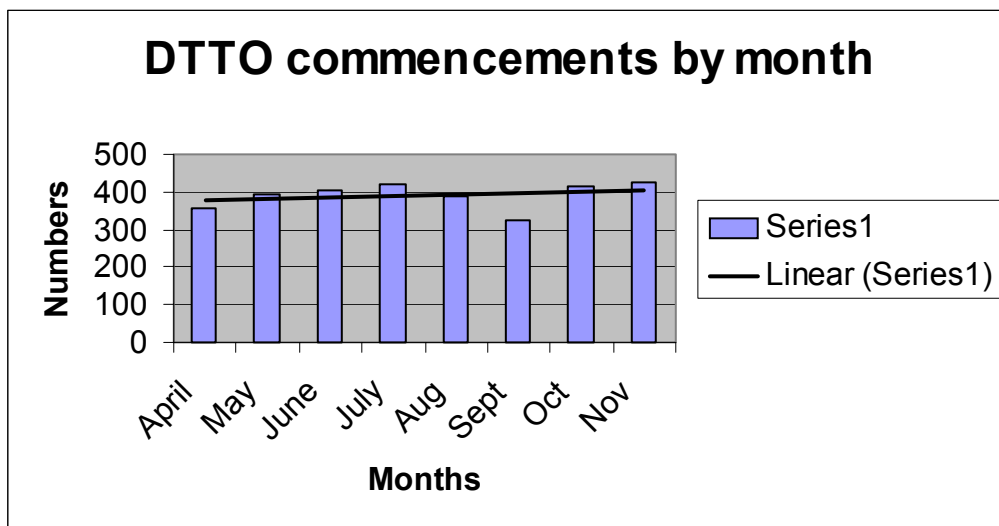
1. DTTO Commencement – April 1st to 31st November 2001

The DTTO is a recently established order now rolled-out to all courts in England and Wales. The number of orders commenced during this period was 3135 which represents 52% of the annual target of approximately 6,000 commencements. Individual area performance varies from 89% of the annual target in Thames Valley to 22% in Dyfed/Powys.

The orders were building steadily on a monthly basis for the first 4 months of the year and a linear projection at that time would have put us on target at the year-end. However we did experience a drop in August and September (from the monthly averages); this has picked up again in October and November.

Further work is being done within areas to lift these numbers and there have been some additional resources provided to those areas projected to deliver numbers above their target.

The graph below shows the national monthly profile. The linear profile shows a steady increase despite the summer drop.



At this monthly rate we are predicting that some 5,000 orders will be commenced by the end of the target year.

The details of the area and regional numbers are shown on the next page.

DTTOs commenced April 1st - November 2001

Region	Area	Target	Starts	Target Achieved	Performance
West Midlands	Staffordshire	110	75	68%	Above
	Warwickshire	50	36	72%	Above
	West Mercia	110	67	61%	Near miss
	West Midlands	380	211	56%	Below
	Regional Sub-total	650	389	60%	
North East	County Durham	80	33	41%	Below
	Northumbria	210	52	25%	Below
	Teesside	90	48	53%	Below
	Regional Sub-total	380	133	35%	
East	Bedfordshire	60	40	67%	Above
	Cambridgeshire	70	43	61%	Near miss
	Essex	140	79	56%	Below
	Hertfordshire	70	43	61%	Near miss
	Norfolk	80	24	30%	Below
	Suffolk	60	35	58%	Below
	Regional Sub-total	480	264	55%	
North West	Cheshire	110	41	37%	Below
	Cumbria	60	23	38%	Below
	Lancashire	190	71	37%	Below
	Greater Manchester	380	210	55%	Below
	Merseyside	230	130	57%	Below
	Regional Sub-total	970	475	49%	
East Midlands	Derbyshire	100	75	75%	Above
	Leicestershire & Rutland	100	57	57%	Below
	Lincolnshire	60	38	63%	Near miss
	Northamptonshire	60	32	53%	Below
	Nottinghamshire	130	109	84%	Above
	Regional Sub-total	450	311	69%	
Yorkshire & Humberside	Humberside	120	77	64%	Near miss
	North Yorkshire	70	50	71%	Above
	South Yorkshire	190	133	70%	Above
	West Yorkshire	310	148	48%	Below
	Regional Sub-total	690	408	59%	
South East	Hampshire	170	68	40%	Below
	Kent	160	93	58%	Below
	Surrey	60	34	57%	Below
	Sussex	120	67	56%	Below
	Thames Valley	160	142	89%	Above
	Regional Sub-total	670	404	60%	
South West	Avon & Somerset	140	63	45%	Below
	Devon/Cornwall	150	68	45%	Below
	Dorset	60	41	68%	Above
	Gloucestershire	50	30	60%	Near miss
	Wiltshire	50	32	64%	Near miss
	Regional Sub-total	450	234	52%	
London	London Sub Total	880	364	41%	Below
Wales	Dyfed/Powys	50	11	22%	Below
	Gwent	80	47	59%	Below
	North Wales	70	54	77%	Above
	South Wales	180	41	23%	Below
	Wales Sub-total	380	153	40%	
England & Wales		6000	3135	52%	

2. Enforcement as at October 2001

The HO business plan target (and SDA target) is that the National Probation Service takes breach action in accordance with the National Standard in 90% of cases. To fully meet the standard, three things must be achieved, ie:

- breach action taken after a second absence assessed as unacceptable
- the court contacted for a hearing date
- all of this achieved within 10 days

Enforcement was previously assessed through the annual audit of enforcement, carried out by probation areas and Association of Chief Officers of Probation. Performance was reported as:

- Sep 1998 51%
- Sep 1999 66%
- Sep 2000 70%

The third audit of enforcement (September 2000) carried out by probation areas and validated by HM Inspectorate of Probation showed that, on the key indicator of breach action, 70% of cases were dealt with correctly. That is to say, 65% of cases that should have been breached on the second unacceptable failure of the offender to comply were indeed breached, and in a further 5% there was proper managerial authorisation not to do so.

This represented an improvement in performance even though the 70% was a tougher standard introduced in 2000 (maximum of two unacceptable failures to comply for those serving community sentences as opposed to three under the 1995 standard).

From 1 October 2001 this and other National Standards are being monitored on a monthly basis. The performance measured in the first month of October 2001, shown by type of order/licence figures, was:

- CRO 62% - CPO 73% - CPRO 69% - licences 74%

If all orders are taken together the headline performance figure is **68%**. However the new monthly monitoring arrangements do not report in the same way as the annual audits previously carried out. The equivalent figure to the 68% in October 2001 taken from the September 2000 audit was 62% **so there has been a further modest improvement**. HMIP and the NPD are currently undertaking an exercise to validate these figures by sample file reading out in areas.

Although there has been good progress since September 1998, it is expected that the target will take until year 2 of the change programme .

The introduction of the National Probation Service in April 2001 has put the emphasis firmly on performance management of individual probation areas, putting the Probation Service in a much better position to tackle this issue. The cultural issues about enforcement have been addressed. The main issue is now timeliness – completing the action to be taken within 10 days of the breach taking place.

This year probation areas' performance on this and other major targets is linked to the cash they receive. A model process for achieving breach action within the 10 day limit is being designed and will be piloted, before being implemented in 2002-03.

The details of the area and regional numbers are shown on the next page.

National Standards Monitoring: October 2001 data: proportion breached as result of second unacceptable failure (third for licences): data across all order/licence types

Region	Area	Proportion breached within 10 days	Proportion breached whether or not within 10 days	Performance against second column (90% target)
West Midlands	Staffordshire	48%	76%	Below
	Warwickshire	62%	69%	Below
	West Mercia	61%	72%	Below
	West Midlands	43%	56%	Below
	Regional Sub Total	54%	68%	
North East	County Durham	55%	67%	Below
	Northumbria	67%	72%	Below
	Teesside	60%	76%	Below
	Regional Sub Total	61%	72%	
East	Bedfordshire	100%	100%	Above
	Cambridgeshire	89%	100%	Above
	Essex	61%	70%	Below
	Hertfordshire	54%	58%	Below
	Norfolk	67%	95%	Above
	Suffolk	50%	58%	Below
	Regional Sub Total	70%	80%	
North West	Cheshire	61%	78%	Below
	Cumbria	25%	38%	Below
	Lancashire	46%	60%	Below
	Greater Manchester	65%	76%	Below
	Merseyside	30%	64%	Below
	Regional Sub Total	45%	63%	
East Midlands	Derbyshire	100%	100%	Above
	Leicestershire & Rutland	42%	88%	Near miss
	Lincolnshire	30%	50%	Below
	Northamptonshire	33%	44%	Below
	Nottinghamshire	59%	78%	Below
	Regional Sub Total	53%	72%	
Yorkshire & Humberside	Humberside	79%	86%	Near miss
	North Yorkshire	68%	76%	Below
	South Yorkshire	64%	74%	Below
	West Yorkshire	52%	72%	Below
	Regional Sub Total	66%	77%	
South East	Hampshire	23%	56%	Below
	Kent	39%	43%	Below
	Surrey	30%	50%	Below
	Sussex	47%	58%	Below
	Thames Valley	53%	64%	Below
	Regional Sub Total	38%	54%	
South West	Avon & Somerset	55%	76%	Below
	Devon & Cornwall	39%	56%	Below
	Dorset	56%	63%	Below
	Gloucestershire	43%	57%	Below
	Wiltshire	79%	93%	Above
	Regional Sub Total	54%	69%	
London	London Sub Total	31%	56%	Below
Wales	Dyfed-Powys	50%	79%	Below
	Gwent	31%	62%	Below
	North Wales	55%	73%	Below
	South Wales	55%	64%	Below
	Wales Sub Total	48%	70%	
ENGLAND & WALES		52%	68%	

3. Accredited Programmes (“What Works”) to the end of September 2001

A key Home Office and CJS PSA (2000) target is to reduce the rate of reconvictions:

- of all offenders punished by imprisonment or community supervision by 5% by 2004 compared to the predicted rate

The target contributes to the overarching objective of reducing crime. Assuming those targeted by the suite of interventions being used to deliver the reduction in the reconviction rates are successfully turned away from crime, levels of recorded crime could fall by approximately 200,000 by 2004.

The reconviction targets will be delivered through interventions based on the principles of ‘What Works’, which requires that clearly defined interventions are used, targeted at risk factors, based on research evidence of effectiveness, and evaluated. These principles are based on the results of extensive international reviews on interventions, which have been shown to be effective in reducing re-offending.

The National Probation Service target is 60,000 Offending Behaviour Programme completions by 2003/04. The National Probation Service is on target with this programme overall.

The benchmark being used for 2001/02 is 10,000 completions. The number of orders/licences made, for the period to the end of September 2001, was 8,950 (of the order starts, 1,783 offenders have dropped out. By the above date 1,385 had completed the programmes; the remainder are either waiting for a group to start or are still on the programme and so could still complete.

Some programmes can be 6 months long and this builds in an inherent time lag of when you can count completions.

Ten regional ‘What Works’ managers have been appointed who will work with local areas to reduce the drop-out rate and increase the volume of appropriate offenders starting the programmes. Local areas are also making a substantial investment in analysing why and where offenders are breaching as well as having new dialogue with sentencers about the “What Works” programme. A large proportion (estimated at just under 50%) of programme-based proposals are not being accepted by sentencers.

The NPD will be in a better position to calculate a projected outcome when the third quarter figures are available.

The details of the area and regional numbers are shown on the next two pages.

Accredited Programmes profile: to end of September 2001

Region	Area	Nominal target	New referrals	Orders/Licences made	Pre Group starts	Core starts	Core completions	No of dropouts	% of completion target
West Midlands	Staffordshire	202	215	140	-	16	4	10	2%
	Warwickshire	75	20	17	-	14	-	3	0%
	West Mercia	185	78	78	-	30	5	6	3%
	West Midlands	703	970	437	258	157	51	25	7%
	Regional Sub-Total	1,165	1,283	672	258	217	60	44	5%
North East	Co Durham	133	171	179	108	111	58	72	44%
	Northumbria	361	736	546	519	348	158	202	44%
	Teeside	192	615	294	171	126	56	15	29%
	Regional Sub-Total	686	1,522	1,019	798	585	272	289	40%
East	Bedfordshire	91	192	94	76	69	18	18	20%
	Cambridgeshire	97	76	73	38	37	10	24	10%
	Essex	234	407	286	-	194	49	101	21%
	Hertfordshire	141	512	145	76	65	18	34	13%
	Norfolk	110	161	128	88	45	24	13	22%
	Suffolk	79	166	105	57	47	11	16	14%
Regional Sub-Total	752	1,514	831	335	457	130	206	17%	
North West	Cheshire	157	113	113	93	66	15	44	10%
	Cumbria	96	87	85	33	37	14	35	15%
	Greater Manchester	694	935	539	195	402	85	49	12%
	Lancashire	325	601	489	276	280	119	206	37%
	Merseyside	377	572	367	4	310	55	33	15%
	Regional Sub-Total	1,649	2,308	1,593	601	1,095	288	367	17%
East Midlands	Derbyshire	193	259	105	-	69	22	83	11%
	Leicestershire	160	453	220	-	185	30	69	19%
	Lincolnshire	117	219	212	12	66	21	20	18%
	Northamptonshire	98	155	161	95	52	8	20	8%
	Nottinghamshire	255	110	93	55	19	8	12	3%
	Regional Sub-Total	823	1,196	791	162	391	89	204	11%

Accredited Programmes profile: to end of September 2001

Region	Area	Nominal target	New referrals	Orders/Licences made	Pre Group starts	Core starts	Core completions	No of dropouts	% of completion target
Yorkshire & Humberside	Humberside	184	564	137	79	64	14	39	8%
	South Yorkshire	301	399	198	-	120	14	32	5%
	North Yorkshire	101	102	78	74	44	4	21	4%
	West Yorkshire	542	620	448	1	1	50	1	9%
	Regional Sub-Total	1,128	1,685	861	154	229	82	93	7%
South East	Hampshire	523	286	159	-	85	34	37	7%
	Kent	240	99	74	60	46	7	8	3%
	Surrey	108	119	74	2	30	-	10	0%
	Sussex	184	144	121	54	54	6	12	3%
	Thames Valley	280	246	236	182	192	81	61	29%
	Regional Sub-Total	1,335	894	664	298	407	128	128	10%
South West	Devon & Cornwall	224	464	395	145	108	13	42	6%
	Avon & Somerset	277	215	184	150	77	47	70	17%
	Dorset	118	184	130	91	43	24	6	20%
	Gloucestershire	110	30	30	45	38	17	21	15%
	Wiltshire	110	196	91	37	39	5	31	5%
	Regional Sub-Total	839	1,089	830	468	305	106	170	13%
London	London Total	1,354	966	1,154	684	653	209	161	15%
Wales	Dyfed-Powys	95	42	42	-	28	5	14	5%
	Gwent	121	301	236	-	43	8	29	7%
	North Wales	104	65	20	-	29	-	12	0%
	South Wales	262	373	238	-	87	8	66	3%
	Wales Total	582	781	536	-	187	21	121	4%
England & Wales		10,313	13,238	8,951	3,758	4,526	1,385	1,783	15%

4. Race Equality – Ethnic Monitoring 2000 – Home Secretary’s Race Equality Targets

The publication of the Probation Statistics for England and Wales in January 2002 confirmed the progress the National Probation Service was continuing to make in the recruitment and grade progression of ethnic minority staff.

Some real achievements have been made:

- The first minority chief officer has been appointed.
- When first appointed some 7 of the 42 Board Chairs were from minority ethnic backgrounds (None of the previous 54 Committee Chairs were).
- About 100 minority ethnic Board members have been appointed (there were only a handful previously).
- At the end of December 2000, 9.8% of probation staff were from minority ethnic backgrounds compared with a target of 8.4% set for 2009.
- 4 new appointments have been made at senior management level. A scheme to provide development needs such as mentoring, coaching etc is being implemented to identify and fast track talented minority ethnic staff.
- 7.9% of senior probation officers (middle managers) are from ethnic minorities, this exceeds the March 2009 target of 6.5%.
- More focussed approaches to work with racially motivated offenders are being developed. Interventions are being tailored to minority ethnic offenders and community safety work with minority ethnic groups is being reviewed.

The table below shows performance against regional targets:

Region	Target set	Achieved	Above/Below Target
West Midlands	11.6	13.3	Above
North East	1.4	1.7	Above
East	4.9	4.9	Above
North West	5.4	6.1	Above
East Midlands	7.2	8.6	Above
Yorks & Humber	5.1	8.4	Above
South East	3.6	4.0	Above
South West	2.6	3.3	Above
London	26.5	30.2	Above
Wales	1.7	2.3	Above
England & Wales	8.4	9.8	

This information will be updated with the detailed provisional figures January – September 2001 in the next report. One highlight from this future report shows that the proportion of middle managers has increased to 8.6% (target of 6.5%) and the proportion of ACO/Area managers has increased from 1.5% to 4.2%.

5. Sickness Absence – July to September 2001

All local areas are required to monitor sickness absence using a standard format starting from the 1st July 2001 and provide monitoring returns to the NPD. No targets were set for this year but there is a target of 10 days in 2002/03 and 9 days in 2003/04, taking the NPS to the Service Delivery Agreement.

The national average for this period was 11.85 days, ranging from 5.93 (West Mercia) to 17.34 (Gwent) at the top end. Future reports will show a period by period comparison as well as comparing across areas and regions.

Some areas already have good systems for monitoring and managing absence and that good practice is being shared across the national HR network.

These include:

- 'Case Management' approach to tackling long term absence.
- Monthly feedback (statistics) to line managers.
- Return to work interviews.
- Probation Board reports.
- Automatic referral to occupational health.
- Healthy Roadshows.
- Stress counselling/health care services.
- **Constant chasing.**

For external benchmarking the NPS average figure of 11.85 compares favourably with the Police at 12.4 days and the Prison Service at 13.9 days. The recently published survey 'Sickness Absence in Local Government 2001' showed Social services sickness rates at an average of 15 days per employee.

However, these figures still carry a health warning because we cannot yet be certain that all areas are counting in the same way. In order to ensure that local areas in NPS are properly implementing the guidance given about calculations, we have commissioned an internal audit (Home Office) of these arrangements across England & Wales. The report is expected in the next month.

The details of the area and regional numbers are shown on the next page.

Performance Against SDA Target on Sickness Absence July to Sep 2001-02

		Total Days Sickness Absence During Quarter	Total Staff 'Years' During Quarter	Average Days Absence per Staff Year	Performance against the 2002/03 target (10 days)
West Midlands	Staffordshire	1038	87.4	11.88	Above
	Warwickshire	311.79	30.86	10.10	Near Miss
	West Mercia	414.92	69.99	5.93	Below
	West Midlands	3526.66	269	13.11	Above
	Regional Sub-total	5291.37	457.25	11.57	
North East	Co. Durham	440.5	57.8	7.62	Below
	Northumbria	1271	118.31	10.74	Near Miss
	Teesside	660.5	65.2	10.13	Near Miss
	Regional Sub-total	2372	241.31	9.83	
East	Bedfordshire	557.5	33.75	16.52	Above
	Cambridgeshire	504	43	11.72	Above
	Essex	754.8	83.925	8.99	Below
	Hertfordshire	513	42.58	12.05	Above
	Norfolk	572.91	54.32	10.55	Near Miss
	Suffolk	440.5	44.38	9.93	Below
Regional Sub-total	3342.71	301.955	11.07		
North West	Cheshire	1021.09	72.05	14.17	Above
	Cumbria	535.4	33.1	16.18	Above
	Lancashire	984	127.3	7.73	Below
	Greater Manchester	2895.58	286.17	10.12	Near Miss
	Merseyside	2017.05	156.38	12.90	Above
	Regional Sub-total	7453.12	675	11.04	
East Midlands	Derbyshire	660	79.225	8.33	Below
	Leicestershire & Rutland	828	82	10.10	Near Miss
	Lincolnshire	383.5	41.7	9.20	Below
	Northamptonshire	430.27	36.935	11.65	Above
	Nottinghamshire	1109	73.92	15.00	Above
	Regional Sub-total	3410.77	313.78	10.87	
Yorkshire & Humberside	Humberside	577.5	84.9	6.80	Below
	North Yorkshire	565	48.35	11.69	Above
	South Yorkshire	1656	139.6	11.86	Above
	West Yorkshire	3457	200	17.29	Above
	Regional Sub-total	6255.5	472.85	13.23	
South East	Hampshire	999.48	104.13	9.60	Below
	Kent	1023.5	91.76	11.15	Above
	Surrey	310.1	45.15	6.87	Below
	Sussex	896	68.15	13.15	Above
	Thames Valley	1364	128	10.66	Near Miss
	Regional Sub-total	4593.08	437.19	10.51	
South West	Avon & Somerset	1826.5	113.21	16.13	Above
	Devon & Cornwall	1590	98.92	16.07	Above
	Dorset	644	45.9	14.03	Above
	Gloucestershire	650	36	18.06	Above
	Wiltshire	346	30.505	11.34	Above
	Regional Sub-total	5056.5	324.535	15.58	
London	London	7159.85	604.14	11.85	Above
Wales	Dyfed-Powys	316	31.78	9.94	Below
	Gwent	719	41.46	17.34	Above
	North Wales	674	45.35	14.86	Above
	South Wales	1369.09	105.07	13.03	Above
	Wales Sub-total	3078.09	223.66	13.76	
England & Wales		48012.99	4051.67	11.85	

6. EFQM Excellence Model® Self Assessment - 2001

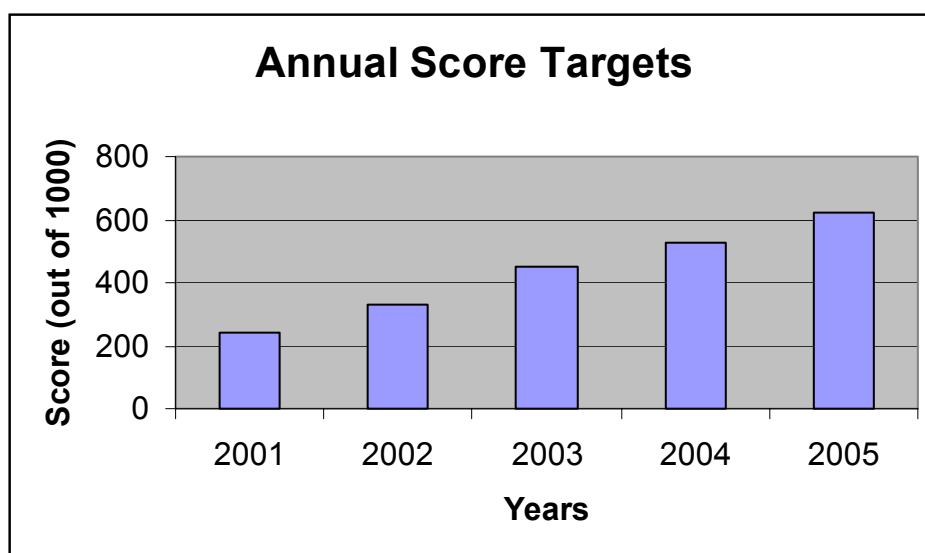
All 42 areas and the NPD undertook a full rigorous self-assessment which was completed by the end of September. Reports on these have been received and analysed. This approach will enable NPS to demonstrate the achievement of the objective set out in the 'New Choreography'.

“By 2006 be able to demonstrate the levels of organisational excellence that will give it (NPS) recognition as a top performing public service.”

Overall area scores range from 150 to 330 with a simple operational average of 243 point out of a total possible score 1000. This is a reasonable score for a first time assessment but a score of between 600 and 700 will be needed to become an award winner and demonstrate excellence.

The National Directorate scored 100. This was to be expected from an organisation that is so new (from 1st April 2001), building its capacity dramatically during the assessment period and introducing first time business processes.

The graph below shows the annual improvements needed to achieve this organisational objective:



It is intended to proceed with a self-assessment process next time (September 2002) which will replicate this year. In 2003 we plan to have the scores independently validated. In 2004 we aim to submit our first award submission, followed by another aimed at achieving the shortlist for an award prize.

'Areas for Improvement' identified in the self-assessment process have been prioritised by each local area (and the Directorate) and locked into the business planning cycle for next year. However, in order to gain some momentum and to deliver some 'quick wins', a full programme of Performance Improvement Projects is being run from the 1st December 2001 to 31st March 2002 on a regional basis (agreed by the NPD). Those that are successful will be introduced to areas as quickly as possible but it will take 18 months for the maximum benefit to be reflected in an improved score. This is a longer term, disciplined incremental improvement.

The details of the area and regional scores are shown on the next page.

EFQM Excellence Model self-assessment scores

Region	Area	Total
West Midlands	Staffordshire	285
	Warwickshire	270
	West Mercia	275
	West Midlands	290
Regional Average		280
North East	County Durham	180
	Northumbria	200
	Teeside	240
Average	Regional Average	207
East	Bedfordshire	255
	Cambridgeshire	320
	Essex	220
	Hertfordshire	205
	Norfolk	205
	Suffolk	290
Average	Regional Average	249
North West	Cheshire	190
	Cumbria	210
	Greater Manchester	230
	Lancashire	185
	Merseyside	234
Average	Regional Average	210
East Midlands	Derbyshire	302
	Leicestershire	235
	Lincolnshire	230
	Northamptonshire	220
	Nottingham	282
Average	Regional Average	254
Yorkshire & Humberside	Humberside	254
	South Yorkshire	225
	North Yorkshire	270
	West Yorkshire	285
Average	Regional Average	259
South East	Hampshire	190
	Kent	225
	Surrey	170
	Sussex	175
	Thames Valley	150
Average	Regional Average	182
South West	Avon & Somerset	215
	Devon & Cornwall	275
	Dorset	294
	Gloucestershire	275
	Wiltshire	320
Average	Regional Average	276
London	London	211
Wales	North Wales	285
	Gwent	330
	Dyfed-Powys	230
	South Wales	290
Average	Regional Average	284
England & Wales Average		243
National Directorate		100