



NATIONAL PROBATION SERVICE
for England and Wales

South Yorkshire Board

ANNUAL REPORT

2001-2002

Contents

	Page
Introduction	4
Aims of the National Probation Service	4
Foreword	4
Part 1: Annual Report	5
A. Results	5
Key Performance Results	5
Customer Results	6
People Results	7
Society Results	8
B. Enablers	10
Leadership	10
Policy and Strategy	11
People Management	15
Partnerships and Resources	17
Processes	22
C. Workload and Activity Statistics	24
D. Names of Board Members & Official Contact Address	25

Page

Part 2: Statement of Accounts	26
Foreword to the Accounts for the Year Ended 2002	26
Statutory Background	26
Accounts	26
Principal Activities	26
Appointments	27
Public Interest	27
Management	27
External Accountability	28
Statement of Accountable Officer's Responsibilities	28
Statement of Internal Control	29
Auditor's Report to the South Yorkshire Probation Board	31
Respective Responsibilities of Accountable Officer and Auditor	31
Basis of Opinion	31
Opinion	32
Certificate	33
Operating Cost Statement	Attached
Balance Sheet	Attached
Cash Flow Statement	Attached
Notes to the Accounts	Attached

Introduction

Aims of the National Probation Service

- The protection of the public
- The reduction of re-offending
- The proper punishment of offenders
- Ensuring offender awareness of the effects of crime on the victims of crime and the public
- The rehabilitation of offenders

Foreword

A new National Probation Service, a new chief officer, a new board, a new head office, a new management structure and not least enormous changes in the way we carry out our work – as we reflect on the number of these changes and the pace of them we must first and foremost thank our staff who have worked extremely hard to meet the challenges that these changes have created.

The recommendations of our area performance inspection programme (the “PIP”) carried out in 2000 were reported back to the inaugural board meeting in April 2001. The inspection highlighted some major areas of concern and it is with some pride and a sense of achievement that we can now report that the PIP follow-up inspection found that we had made significant and satisfactory progress in all these areas.

Our priorities in this year have been on the achievement of the key performance indicators in national standards and in particular work centred on enforcement. You will see in this report that although we did not meet all our targets we made solid and significant progress towards them.

2001 saw the introduction of our group programmes division and we now have strong foundations to take forward the What Works agenda using our accredited programmes.

The multi-agency public protection panels were established this year and together with the work in the prolific offender programmes we have established very positive ways of working together with the police and many other partner agencies across South Yorkshire. The DTTO came into being in 2001 as well and you will see in this report that we exceeded our targets with these orders and had some real success stories.

The new South Yorkshire Board took shape this year and we truly reflect the wide ranging communities across the area, giving us new opportunities to engage with these diverse communities and explain the work of the service to new audiences.

This year also saw the biggest intake of trainee probation officers to the area so far and it is with much pleasure we welcomed them to the service. Many other new staff have joined us and together with our established staff we continue to create a committed and professional work force.

A great deal was achieved in 2001-2002 but we still have much to do. We hope you find the contents of our annual report useful and informative and would welcome any questions or comments about it.

We feel it reports on a service committed to playing its part in helping to create a safer community in South Yorkshire.

Beryl Seaman
Chair of the Board

Heather Harker
Chief Officer

Part 1: Annual Report

A. Results

Key Performance Results

From 1st April 2001 all probation areas in England and Wales have had a proportion of their overall funding linked directly to the achievement of some specific performance targets. These continue to be priority areas for attention and form the most important part of operational service delivery targets in our annual business plan.

National standards	Target	Achieved
For community rehabilitation orders <ul style="list-style-type: none"> • first appointment was arranged for within 5 working days • at least 12 appointments were arranged for within the first 12 weeks • at least 6 appointments were arranged for within the next 12 weeks • appointments thereafter were monthly 	90%	96% 89% 91% 83%
For community punishment orders <ul style="list-style-type: none"> • first work session arranged for within 10 working days • offenders were offered a minimum of 5 hours per week throughout order 	90%	82% 93%
For community punishment & rehabilitation orders <ul style="list-style-type: none"> • first probation appointment arranged for within 5 days and first work session arranged for within 10 days • at least 12 probation appointments and 11 community punishment order work sessions arranged in first 12 weeks • at least 6 probation appointments and 12 community punishment order work sessions arranged in next 12 weeks 	90%	77% 70% 76%
For licences <ul style="list-style-type: none"> • offender seen within one working day of release • home visit within 10 working days of release • weekly contact arranged for first 4 weeks (further to first meeting) • fortnightly contact arranged for second and third months monthly contact arranged thereafter 	90%	100% 75% 93% 97% 97%
Enforcement Breach action to be taken in accordance with national standards (within 10 days and on or before second unacceptable failure for community sentences, and on or before third unacceptable failure for licence cases).	90%	66%
Timeliness of PSRs The proportion of PSRs completed within the 15 day national standard	90%	72%

Customer Results

The service will ensure that the principles of the Citizens' Charter are used to gain the confidence of our local communities. In recent years we have continued to develop a customer focus with internal and external stakeholders. We will therefore ensure that the feedback from customer surveys, complaints, beneficiary compliments and others are all used to improve service performance.

Performance target 1

County and divisional strategies will be developed for communication/liaison with South Yorkshire magistrates' courts. This will include undertaking court satisfaction surveys.

Result

Arrangements for liaison with magistrates, judges and clerks to the justices are in place and have operated effectively during the year. A sentencer survey was undertaken as planned, which showed that 95 per cent of sentencers were satisfied or very satisfied with the work of probation in South Yorkshire.

Performance target 2

The service will implement procedures for undertaking user-friendly satisfaction surveys and will review the results of those surveys on a yearly basis.

Result

The service has worked with regional colleagues to pilot a public perception survey methodology to be employed by the NPD.

Performance target 3

The service will develop and implement a complaints policy and procedure that is consistent with the Human Rights Act, the results of which will be published annually.

Result

NPD policy has been implemented in line with instructions received and an annual report produced for the board.

Performance target 4

The service will develop an external communications strategy that builds on existing web technologies and media relationships.

Result

The service has put in place a strategy to lay firm foundations for effective communications with external audiences, which continues to be developed, and coverage in local media continues to be obtained.

The Home Secretary, the Rt. Hon David Blunkett MP officially opened the service's new head office in Division Street, Sheffield. During his visit, he listened to presentations on three pioneering and successful areas of work – prolific offender projects, drug treatment and testing orders (DTTOs) and the drink impaired drivers programme (which was developed in South Yorkshire and is now being rolled out nationally).

People Results

The service aims to be an organisation that cares for its staff and provides a work environment in which staff enjoy their work and feel valued for the contribution they make to the overall aims and objectives of the service.

Performance target 1

The service will ensure that all staff receive annual appraisals and that they include how each individual contributes to team/divisional performance targets and review the individual's learning needs.

Result

An audit carried out by an external consultant has evidenced significant improvements in performance.

Performance target 2

The service will aim to reduce sickness absence to an average of nine days per member of staff by 2004. The service will also implement the occupational stress policy and manage the level of absence through work related stress.

Result

A number of initiatives are planned including enhanced occupational health provision and support to staff. Work continues in the stress working party to achieve clarity and consistency of application of procedures. A briefing note has been issued to managers and staff with that objective.

Performance target 3

The service will ensure compliance with health and safety risk legislation in order to provide effective management of risk in the workplace and provide a safe working environment for staff.

Result

Regular reviews of safe working practices take place within the health and safety committee. Risk assessment for community punishment has formed a major focus of attention alongside review of the health and safety manual.

Performance target 4

The service will develop an internal communications strategy building on the existing communications technology in NPSISS, staff newsletters, briefings and roadshows used in 2000/01.

Result

The service has begun, using a cross-grade project management group, to research requirements using recognised methodologies and to recommend improvements to future internal communications. Implementation is expected during 2002/3.

Performance target 5

The service will devise and introduce a scheme for measuring staff satisfaction within the probation service covering areas such as fairness, development opportunities, managing stress and quality of the working environment.

Result

A working group from the stress working party led by the research officer is designing a questionnaire that will combine the follow-up survey in respect of compliance with the supervision and appraisal policy and the required elements of staff satisfaction within an EEM framework.

Performance target 6

The service will implement PC4/2001, the joint initiative on priorities and care.

Result

A working party has been established and is considering a work/life balance strategy, looking at more flexible ways of working to complement service objectives and will be working on an agreement for managing change.

Society Results

The probation service in South Yorkshire aims to make a significant contribution to improving the quality of life in our local community in particular, but also nationally and internationally where appropriate.

Performance target 1

The service will continue to develop schemes of work with offenders on community punishment that have a beneficial impact on local communities.

The High Sheriff of South Yorkshire was the guest of honour at an inaugural awards ceremony for the National Probation Service in South Yorkshire

Marian Rae presented the prizes at the service's Excellence in Community Service awards at The Showroom cinema, Sheffield.

The Lord Mayor, Cllr David Baker, joined the High Sheriff as community service teams vied for the title of best project in the county.

The awards showcased the projects undertaken by teams of offenders under the supervision of the probation service throughout South Yorkshire.

Result

Offenders worked 170,000 unpaid hours on community punishment for the community, undertaking a wide variety of tasks in groups and individual placements around the county.

Performance target 2

We will continue to raise funds for charitable organisations/events where appropriate e.g. hostels fundraising events for local charities.

Result

Throughout the year staff have continued to raise money for a variety of causes.

Performance target 3

The service will continue to implement its ecology policy, which encourages the reduction of reliance on the private car and the use of ecologically friendly products and services.

Result

The working party is engaged in promoting a package that supports the move away from the private car and will be reviewing the policy by looking at what evidence is available in terms of monitoring the success of the policy.

Performance target 4

The service will review and report on an annual basis the extent and nature of media coverage about its work.

Result

A report was presented for consideration by the board detailing the extensive coverage received.

B. Enablers

Leadership

The National Probation Service adopted the European Excellence Model as a performance management framework for the whole service, in order to enhance performance and effectiveness and to continuously improve in all its activities and results. The corporate plan for the South Yorkshire area for 2001/02 therefore contained clear objectives, standards and targets and we did indeed continually improve our performance as the year progressed.

Integral to that improved performance was the need for clear, strong and purposeful leadership at all levels in the organisation. Eithne Wallis, the National Director, in the New Choreography said,

“Through the excellence model we are reminded that high performance and achievement only follow when key enablers such as leadership, people policies and care are firmly established as part of the very culture and fabric of our organisation.”

A new senior management structure was introduced in May 2001. New divisional managers took responsibility for leading operational fieldwork divisions and focused on improving performance in supervising offenders in the community.

A reduced number of assistant chief officers moved into head office to concentrate on the development and consistent implementation of countywide policies and procedures. They joined the chief officer and board in responsibility for the overall strategic direction of the service.

In South Yorkshire all managers in the service have worked hard to provide clear and accountable local leadership and the evidence of how successful we have been is seen in the achievement of some key performance targets. Some examples of which are:

A significant area for attention has been the achievement of national standards for contact and enforcement – contact has remained consistently high, with enforcement levels improving and rapidly moving towards the target of 90%. Our management of high Risk and dangerous offenders is of a very high quality and the “bedding in” of our MAPPPs has been a significant feature during the year.

In turn, the Probation Board for South Yorkshire held operational leaders to account for the delivery of performance targets, and itself has begun to develop into a firm but fair employer of all the staff of South Yorkshire. There does though still remain much to do, and indeed further changes and challenges with which to contend. It will therefore be vital that all service leaders continue to support and inspire our staff to achieve all that is expected of us, which will ultimately result in us developing into an excellent organisation that really is “fit for purpose”.

Policy and Strategy

We will have clear policies and strategies based on our commitment to the European Excellence Model and caring for our staff. We will continue to develop and implement our policies and strategies through effective consultation and communication with staff, trade unions customers and suppliers.

Major objectives

Target

By 30th September 2001 undertake a whole organisational self-assessment against the European Excellence Model and develop a policy and strategy concerning the integration of the excellence model and corporate planning process.

Result

The EEM self-assessment was completed to target. The revised national template for the area business plan meets the requirement for integrating the excellence model and the corporate planning process. Work on local policy and strategy has not, therefore, been necessary.

Target

By 30th September 2001 agree a strategy on how the service will achieve the European Excellence score of 700 by 2006.

Result

Two local and two regional areas for improvement were agreed to target and these form the strategy for improving the area EEM score.

Target

By 30th November 2001 we will draw up a statement showing clear strategic direction for the service. To help us do this we will develop a structural approach to using external and internal information.

Result

The publication of the national director's 'New Choreography' provides a clear strategic direction for the service and is linked to the developmental work associated with the EEM improvement plan. An area statement relating to the local position is provided in the chief's statement in the business plan for 2002/03.

Performance targets by service aim

Aim: the protection of the public

Performance target 1

Risk assessment and management procedures will be applied to offenders subject to our supervision by using the ACE tool in at least 90 per cent of cases. To be audited twice yearly.

Result

2001/2 was a year of consolidating use of an integrated offender assessment and supervision planning system. An inspection in January 2002 found that the required assessment format had been used in 93% of cases and the standard of these assessments was good enough, or better, in 81% of cases. This showed a marked improvement on an equivalent inspection in 2001. A growing proportion (20%) of the assessments were scored as excellent.

Performance target 2

We will provide a comprehensive service to the victims of crime in line with revised statutory requirements and achieve national standards for victim contact in 80 per cent of relevant cases. Review progress twice yearly and re-launch victim awareness strategy.

Result

By the end of September 2001 we had established a specialist victim contact unit. The unit worked hard to clear the backlog of cases that had accumulated between April and September and achieved this between September and the year-end. Monitoring data shows that 65% of victims were contacted within the national standards timescales. Contact is made within the required timescales in nearly all cases where the victim information is received from the police in time. Work is ongoing to improve the information flow from the police to the victim contact unit.

Performance target 3

Prolific offender projects (POPs) will be extended to each division and a county protocol for management and operation of POPs will be implemented. Monitoring and evaluation procedures to be established by September 2001.

Result

POPs were established in each division, primarily financed through short-term external funding streams. Because of this, efforts were concentrated over the year in successfully securing longer term funding to enable the schemes to operate from 1 April 2002. Attention needs to be focused during 2002/03 on a consistent approach to the operation of the schemes, within the parameters set by the funding bodies.

If the first 16 offenders on the prolific offender project had offended at their potential peak rate we could have had over 450 crimes during the first six-month period. There were 27 actual recorded offences during this time.

Performance target 4

Racially motivated offenders (RMOs) will be supervised in line with RMO policy and will undergo programmes of work targeted at their offence. Progress will be reviewed twice yearly.

Result

A revised policy on work with racially motivated offenders was published in July 2001. Specific work to develop practice with racially motivated offenders has been slow to gather momentum. A series of training programmes run in 2001 resulted in the recruitment of an internal training team, who have set about developing and implementing a wider training programme for all staff.

Aim: the reduction of re-offending

Performance target 1

We will achieve high standards of practice in offender assessment and supervision planning and at least 80 per cent of supervision plans will comply with national standards requirements by December 2001. To be audited twice yearly.

Result

A comprehensive practice development project addressing supervision planning was conducted through 2001/2. This consisted of the development of training programmes, the revision of procedures and tools, on-line and in-office coaching, and the publication of a compendium guide for case managers. The result was to lift the quality of supervision plans from its low level (20%) in 2000, to 76% in 2001, to a high of 88% in January 2002. Work will continue into 2002/3 aimed at sustaining this level of performance.

Performance target 2

We will expand delivery of accredited programmes as a means of ensuring effective intervention with offenders and be in a position to deliver 600 accredited completions for 2002/03.

Result

The thrust of work in 2001/2 on accredited programmes was to create the capacity to meet the 2002/3 targets. A doubling of the Group Programmes Division tutor team brought with it huge training demands. South Yorkshire now has a complete, integrated, state-of-the-art facility at Masbrough in Rotherham, with the capacity to deliver the 2002/3 throughput, to the required standard. A quality audit in January 2002 scored 50 out of 100, a commendable start. The general offender programme – Think First – was launched in September 2001, and had begun to generate steady completions by March 2002. Fully accredited status was achieved by our home-grown Drink Impaired Driver Programme, which will become the “industry standard” nation-wide. South Yorkshire retains a broad suite of offender programmes, each of which is being developed to the accredited status in line with the national strategy. By the end of 2002/3 we had in place the staff and the facilities to rise to the challenge of volume throughput, in 2002/3.

Fully accredited status was achieved by our home-grown Drink Impaired Driver Programme, which will become the “industry standard” nationwide.

Performance target 3

The levels of repeat offending by drug misusers will be reduced by extending the provision of drug treatment and testing orders (DTTOs) in line with resources provided. Achieve 190 DTTOs by March 2002.

Result

The flying start of the South Yorkshire DTTO scheme was sustained through 2001/2. The 190th order was made early in March 2002. Monitoring of the scheme showed higher levels of compliance than had been predicted and research has been commissioned to find out what makes

the South Yorkshire scheme so successful. The scheme is a tribute to partnership working between the probation service, the NHS and the voluntary sector.

Performance target 4

A revised substance misuse strategy will be developed in order to achieve 60 completions of substance misuse programmes by March 2002.

Result

The implementation of an accredited substance misuse programme had to be dovetailed with the national rollout of ASRO (Addressing Substance Related Offending). The training for South Yorkshire staff was not accessible during 2001/2, but is scheduled for the summer of 2002. We expect to run our first ASRO programme, for offenders on DTTOs in August/September 2002. To contribute to the five-days-a-week contact requirement for the DTTO, DTTO staff themselves developed and piloted in-house groupwork sessions for offenders on these demanding orders.

Performance target 5

The service will develop a South Yorkshire offender employment strategy through Objective One and commence implementation from May 2001 onwards.

Result

Working with the voluntary sector, funds were secured, within the wider Objective One Strategy, to support projects aimed at getting offenders back into the employment market. With probation support, SOVA was successful in a bid to co-ordinate the South Yorkshire Offender Partnership Skills Network, whose network of projects will come on stream later in 2002.

Performance target 6

We will improve offender employability by providing basic skills programmes by June 2001.

Result

National learning from seven PATHFINDER projects was disseminated in the summer of 2001. The area's basic skills development needs to be integrated into both the National Probation Service Basic Skills Strategy and the Learning and Skills Council's implementation of Skills for Life. Major work on capacity building will progress during 2002/3.

Performance target 7

The service will provide hostel regimes that will challenge offending behaviour and offer reintegration opportunities; achieve 90 per cent occupancy; and improve hostel residency completions by three per cent on 2000/01.

Result

Occupancy rates were 88 per cent. . The service exceeded the hostel residency completion target, with 71 per cent for 2001-2002 compared with 66 per cent for 2000-2001.

The flying start of the South Yorkshire DTTO scheme was sustained through 2001/2. The 190th order was made early in March 2002. Monitoring of the scheme showed higher levels of compliance than had been predicted and research has been commissioned to find out what makes the South Yorkshire scheme so successful. The scheme is a tribute to partnership working between the probation service, the NHS and the voluntary sector.

Aim: the proper punishment of offenders

Performance target 1

All offenders subject to our supervision will be supervised in accordance with national standards requirements and Home Office service delivery targets. We will achieve contact and enforcement levels of at least 90 per cent with all offenders.

- The probation board and strategic management team will monitor progress at least quarterly via performance reports
- The service will comply to HMIP national standards monitoring requirements
- Divisions and teams will report on national standards performance on a monthly basis

Result

The service achieved contact and enforcement levels of 87 per cent. Performance is discussed regularly at service meetings.

Performance target 2

All relevant staff will produce accurate and timely records of contact with offenders in at least 90 per cent of cases. Case file audits to be undertaken at least quarterly.

Result

Evidence of accurate and timely recording via national standards shows this was achieved in 87 per cent of cases. All files are monitored by senior probation officers together with monthly National Probation Directorate monitoring.

Performance target 3

The service will implement resettlement policy and practice guidelines to ensure consistency of service delivery across the county for offenders subject to licence conditions by September 2001.

Result

People Management

The staff of the probation service are its most valuable resource and without their hard work and commitment the service will not meet either its own or Home Office service delivery targets. The service is going through a period of expansion and rapid change, at a pace that is unprecedented in its history. It is vital that we work together to the corporate good and ensure that we retain our central role in protecting the public and reducing re-offending. We will therefore continue to develop and reshape our workforce to be 'fit for purpose' as a criminal justice agency of the 21st Century.

Performance target 1

The service will continue to develop and implement its workforce planning strategy in line with the requirements of the What Works agenda and with the full involvement of the trade unions and staff. Phase one has been implemented and phase two (APT&C staff) will be reviewed in September 2001.

Result

A review of progress has been undertaken with UNISON within the JNCC machinery to ensure that our case management approach supports the What Works developments. An electronic case record is awaited.

Revised roles and payment structures have been implemented for hostel workers within approved premises. The outline structure and reward system for a major re-structuring within community service has been agreed with the trades unions. Joint work continues on implementation issues.

Performance target 2

Trainee probation officer recruitment via the Yorkshire and Humberside Consortium (Y & HC) will be sustained and further developed in line with Home Office resourcing.

Result

To meet anticipated national demands we have had a significant increase in the number of trainee probation officers from 6 per annum to 30. There have been significant challenges in growing the capacity to satisfy Home Office requirements.

Performance target 3

The service will ensure all staff are given development opportunities and receive training to assist them to improve performance and achieve agency objectives in line with our Investors in People (IiP) strategy.

Result

The SY training plan 2002 - 3 covers the New Choreography 9 stretch objectives and specifically includes staff development opportunities. SYs annual performance objective and plan incorporates personal training and development objectives for each member of staff with the primary aim of improving performance and achieving organisational objectives

Performance target 4

Revision of staffing strategy for work in community punishment units will be developed and ready for implementation by September 2001.

Result

Info needed Planning was undertaken and a strategy produced to prepare for anticipated changes within Community Service units. This was the subject of consultation with the TUs and a revised staffing structure was agreed. Work continues in respect of detailed implementation and training in anticipation of the introduction of revised requirements within Community Punishment orders

Performance target 5

Particular attention will be paid to the recruitment, retention and progression of staff from minority ethnic communities. Over the next three-year period the targets will be:

- To increase the recruitment of PO and PSO grades by one per cent
- To increase the recruitment of middle managers by five per cent
- To increase the recruitment of senior managers by 20 per cent
- To maintain retention rates at the same levels, grade for grade, as for white staff

Result

(Figs for 2000 in brackets)

POs 10 % (8.25 %)

PSOs 4.13 % (4.17 %)

SPOs 8.82 % (8.82 %) – future figures will include all middle managers

Senior managers 9.09 % (12.5 %)

Retention white 85.47 % black 85.19 %

Performance target 6

Adopt and implement integrated race and diversity action plan and deliver between April 2001 and March 2003 the relevant training requirements related to staff attitudes and understanding, the supervision, appraisal and support of staff and the handling of discipline, grievance and harassment procedures.

Result

Action plan in place and progress is being monitored regularly. Additional developments are the inclusion of a black supporter in disciplinary procedures, the retention of a black counsellor/advisor and work with the trades union to agree a revised harassment policy.

Partnerships and Resources

The service is funded directly by the Home Office, except for staff working within prisons where the direct costs of seconded staff are reimbursed by those establishments. Separate grant allocations are made for general, DTTO, hostel and PAGES budgets. These allocations are determined by specific resource allocation formulae. In the latter three cases, the grant represents a minimum expenditure level for those services for the year. Within this broad constraint, it is for local services to determine how to use the grant allocation to meet its strategic objectives and priorities.

The service works in partnership with a wide variety of bodies within the voluntary and statutory sectors. A significant proportion of the DTTO budget is spent in partnership with both the voluntary and statutory sectors and the whole of the PAGES allocation is spent with the voluntary sector.

The service works positively with the four local authorities in the development of crime and disorder strategies and contributes a significant element of funding both to youth offending teams (though seconded staff and payments to pooled budgets) and to specific initiatives.

Performance target 1

The service will maintain and develop its contribution to the four district community safety steering groups and other appropriate groups. This will include developing more equitable funding to the partnerships and the YOTs by March 2002.

Result

The service maintained a high level of input to the four crime and disorder partnerships, a fact recognised in the external consultant's review commissioned toward the end of the financial year.

Work continues to develop a model for the four South Yorkshire YOTs in an equitable and balanced way.

Performance target 2

The service will improve its inter-agency arrangements for the management of dangerous offenders in the community by collaboration with other strategic partners and the production of a countywide protocol for such arrangements by December 2001.

Result

In response to new statutory duties, which took effect in April 2001, the police and probation services in South Yorkshire established a joint public protection unit, staffed by secondees from both agencies. This became operational in October 2001. It quickly set about raising standards and bringing consistency to the public protection case conference system that preceded MAPPPs (multi-agency public protection panels). Each locality in South Yorkshire now has a core MAPPP, which meets monthly. The public protection manager has the authority to call higher level MAPPPs where area-wide or cross boundary resources are required. Training, the development of better procedures and the consistent involvement of other agencies all contribute to vastly improved performance, compared with a year ago. An agreed protocol underpinning the arrangements will be fully implemented early in 2002/3.

The multi-agency public protection panels were established this year and together with the work in the prolific offender programmes we have established very positive ways of working together with the police and many other partner agencies across South Yorkshire.

Performance target 3

The service will review existing court service delivery arrangements and restructure across the county in line with PC 27/99, thus enabling better use of resources and increased efficiency. Review and proposals to be completed by April 2001. Implementation in full by September 2001.

Result

Court services were reviewed as planned and a strategy developed and implemented, together with relevant training, to staff courts with PSOs. An initial review provides clear evidence that this change project has been successful and the target achieved.

Performance target 4

The service will review existing contracts for staffing in South Yorkshire prisons with relevant governors and area manager, with the aim of achieving a more balanced and appropriate business case.

Result

This target has been taken forward at a regional level. A review of the contracting process is almost complete, and has linked with a national Better Quality Services review of prison/probation contracts.

Performance target 5

The potential for building a new probation hostel, as a regional facility, will be explored, via regional probation/prisons hostel groups. Plan submitted to Home Office for building of new hostel and to be built by March 2002 if going ahead.

Result

Local and National Probation Directorate factors made it impossible to proceed within the timescale. NPD has announced a new, thorough and supportive process, of which we are a part. We are therefore continuing to pursue this but within a national structure.

Performance target 6

The service will contribute to developing more efficient and speedy processes for the administration of justice in South Yorkshire via the area criminal justice strategy committee. We will renegotiate the service's position and links with South Yorkshire magistrates' court committee. Report progress twice yearly.

Result

The chief officer has represented the probation service on the area criminal strategy committee during the year. A key achievement has been the publication of a joint agreement on enforcement practice.

Regular meetings with the justices' chief executive have taken place during the year, and a countywide service level agreement between the magistrates' courts and the probation service achieved.

Performance target 7

The service will establish and maintain a sound financial control environment and meet statutory and regulatory requirements and deadlines.

Result

Internal and external audit reports have emphasised the soundness of the financial control environment. All statutory and regulatory deadlines and requirements have been met.

Performance target 8

We will assess resource implications and requirements of new sentences and criminal justice initiatives e.g. drug treatment and testing orders (DTTOs), prolific offender programmes (POPs), accredited programmes and community punishment.

Result

Work continued throughout the year to assess the financial implications, immediate and longer term, of the service delivery changes and other initiatives that arose during the year.

Performance target 9

We will ensure that all contracted services providers are operating in accordance with national standards, What Works and better quality requirements by March 2002.

Result

Contracts with voluntary sector providers make specific reference to national standards requirements. Monitoring information requires that contracts with partner agencies are reported in an appropriate and timely manner to ensure compliance with national standards.

Performance target 10

The service will continue to work in partnership with both statutory and voluntary sector organisations to develop the county and divisional 'supporting people' provision by April 2003. Progress reports will be produced quarterly.

Result

The service has worked in partnership with accommodation providers to prepare for an effective transition to the 'supporting people' regime in April 2003. This work will continue through 2002/03.

Performance target 11

The service will exploit current and future information systems to full extent, with emphasis on reporting and communication systems, which support the policies and strategic direction of the service and respond to internal and external demands for service performance information. Performance reports will be produced quarterly.

Result

New information strategy approved March 2002, including IT action points required to support it;
Performance reports produced quarterly for consideration by board and senior managers and made available to all staff via electronic systems;
Continuous improvement programme for performance statistics, particularly including agreement in October 2001 to new performance reporting regime concentrating on improved timeliness;
DTTO database fully implemented to facilitate joint case record with treatment providers;
Systems developed and implemented to monitor and report key national standards from NPD/HMIP;
National standards monitoring co-terminus with their submission to NPD;
Systems implemented to provide improved monitoring and reporting of PSRs and SSRs;
Extensive use made of report writing tools to respond to broad range of ad hoc information requests;
Achieved 1-1 ratio of workstations to f.t.e staff in field offices.

Performance target 12

The service will implement the next phase of national NPSISS initiatives and CRAMS release via service IT strategy. Date to be determined by NPS.

Result

CRAMS release 4.8 implemented as soon as available; project commenced to implement electronic case record based on CRAMS; broad range of contributions to development and implementation of STEPS

Performance target 13

We will implement the service's property strategy following clarification of position from national directorate and provision of safe working environments for all staff using probation service premises.

Result

The position in relation to property has been uncertain for much of the year, as the national directorate's plans have unfolded. Despite that, the service has accomplished a successful move of its head office from very run down premises to a refurbished former hostel, and has produced state of the art premises for the delivery of groupwork in Rotherham. In addition, there have been considerable improvements to our facilities for service delivery at Bennetthorpe in Doncaster, and Main Street in Rotherham. Work was completed in the course of the year to produce more accommodation for females at Norfolk Park Hostel in Sheffield. Much useful maintenance has been carried out, and bids have been made for funding for further developments. The transfer of premises from the probation service to the newly formed CAFCASS was completed successfully at the start of the period to which this report relates.

Processes

South Yorkshire aspires to be one of the best performing probation services in the country and in order to achieve that it will be necessary to review fundamentally the whole of the service's operations within the next three years (2001-2004). Therefore a programme of European Excellence Model self assessment will be implemented in 2001, which will begin to incorporate and replace internal inspection and will ultimately cover all areas of service delivery and supporting infrastructure.

Performance target 1

The service will implement phase two of the What Works accredited programmes plan, as approved by the Home Office.

Result

Phase Two of the What Works programmes plan largely consisted of building the capacity to manage high throughput of offenders in 2002/3.

Performance target 2

We will deploy OASys across South Yorkshire as the system becomes available.

Result

National OASys development was slower than had been expected. OASys itself was not available to areas in 2001/2. Rather, the incremental development of the South Yorkshire Integrated Offender Assessment and Supervision Planning system (ACE) tracked the OASys developments, so that staff should experience OASys implementation, in 2002/3, as a further development of the existing system.

Performance target 3

PSR improvement plan to be agreed and implemented to achieve compliance with national standards with at least 80 per cent of PSRs assessed as excellent/good enough. Quarterly audits to be conducted.

Result

An improvement plan was developed and regular audits undertaken. At the end of the year the improvement target of 80% was exceeded, with over 90% of PSRs assessed as excellent/good enough.

Performance target 4

At least 90 per cent of PSRs to be completed within 15 working days by September 2001. Negotiations and protocol with Sheffield Magistrates' Court to be agreed in order to achieve overall target.

Result

An action plan was developed and work with Sheffield Magistrates' Court undertaken as planned. Performance has improved from the previous year, and peaked at 79% of PSRs completed in 15 working days.

Performance target 5

SSRs to be prepared in all South Yorkshire magistrates' courts and to comprise 20 per cent of all reports to court. Protocol to be established with chief executive of South Yorkshire magistrates' court committee to take effect from April 2001.

Result

SSRs were operational in all South Yorkshire magistrates' courts from April 2001. A countywide protocol was implemented with the South Yorkshire magistrates' court committee in February 2002. Performance has improved during the year, SSRs comprising 17.5% of all reports to court by the end of the period.

C. Workload and Activity Statistics

Workload Outcomes 2001/02

	County 1999/2000 Actual	2000/2001 Actual	2001/2002 Projected	2001/2002 Actual
Commencements				
Community rehabilitation orders				
- with conditions	505	451	900	530
- without conditions	1535	1524	1260	1534
Community punishment orders	2162	1902	2120	1681
Community punishment & rehabilitation orders	501	458	540	391
Drug treatment & testing orders		40	190	185
Resettlement				
- Statutory	2112	1459	1790	1541
- Voluntary	545	468	700	351
Supervision orders	25	19		16
Current caseload				
Community rehabilitation orders				
- with conditions	598	539	850	647
- without conditions	1352	1571	1370	1457
Community punishment orders	1824	1451	1730	1296
Community punishment & rehabilitation orders	522	446	560	391
Drug treatment & testing orders		34	190	119
Resettlement				
- Statutory	2428	2036	2190	2162
- Voluntary	234	189	280	114
Supervision orders	39	34	-	27
Reports				
PSRs	7177	4516	5720	5914
SSRs		246	1430	950
HDRs		456	440	498
BIRs		n/a	-	765
CP hours				
Ordered	277556	224228	273000	201881
Worked	205000	196581	227000	164943
Work with victims (data for 9 months only)				
Number of cases with 1-4 years sentence				200
Number of cases with 4 or more years sentence				124
Number of victims – sentence 1-4 years				213
Number of victims – sentence 4 or more years				162

D. Names of Board Members & Official Contact Address

Members of the Board 2001/02

Almas Abbasi

Saghir Alam

Councillor Roni Chapman

Diana Clark

Owen Gleadall

His Honour Judge Alan Goldsack QC

Heather Harker

Shirley Harrison

John G Hinchcliffe

Mohammed Ismail

David Purchon

Hughes Redhead (with effect from January 2002)

Beryl Seaman (Chair)

Des Smith (with effect from January 2002)

Les Taylor

National Probation Service, South Yorkshire

Head Office

45 Division Street

Sheffield S1 4GE

Telephone 0114 276 6911

Fax 0114 276 1967

Web www.syps.org.uk

Part 2: Statement of Accounts

Foreword to the Accounts for the Year Ended 2002

Statutory Background

The National Probation Service for England and Wales was established by the Criminal Justice and Court Services Act 2000. Local probation boards were established in accordance with the police areas to implement the functions conferred on them through the Act. Each Board is a corporate body that came into existence on 1 April 2001.

Accounts

Each Board is required under Schedule 1, paragraph 16(1) of the Act to make a report to the Secretary of State on the performance of its functions during each financial year, and prepare in respect of each financial year of the board a statement of accounts.

Under Schedule 1, paragraph 16(2) of the Act, the Secretary of State has given direction as to:

The information to be given in the report and the form in which it is to be given,

The time by which the report is to be made, and

The form and manner in which the report is to be published.

Principal Activities

South Yorkshire Probation Board covers the South Yorkshire Police area, as defined in Schedule 1 of the Police Act 1996, serving a population of 1,304,000. During the year, the Board employed 543 full time staff who worked from 16 buildings and three hostels across the area.

Each Board is initially to provide assistance to the courts in determining the appropriate sentence to pass, and making other decisions in respect of persons charged with or convicted of offences, and to assist in the supervision and rehabilitation of such persons.

The discharge of policies as established by the National Probation Directorate of the Home Office, are designed to ensure:

The protection of the public;

The reduction of re-offending;

The proper punishment of offenders;

Ensuring offenders' awareness of the effects of crime on the victims of crime and the public;

The rehabilitation of offenders.

The Chief Officer is a statutory office holder appointed by the Secretary of State. The CO is the Accountable Officer for the Board and is accountable to the National Director in her position as the Principal Accountable Officer for the National Probation Directorate. The PAO, in turn, is accountable to the Accounting Officer of the Home Office, who is directly accountable to Parliament for safeguarding public funds.

Appointments

The Chair, the Chief Officer and other members of the Board were all appointed by the Secretary of State in line with the Commissioner for Public Appointments' "Guidance on Appointments to Public Bodies." The emoluments of these persons are paid for through Home Office funds.

The Lord Chancellor appointed Mr Alan Goldsack to the Board from among the judges of the Crown Court. The emoluments of this appointee are paid for from the Lord Chancellor's Department.

Employees of the Board are members of the Local Government Pension Scheme. Details of pension arrangements are set out in Notes 1.12, 1.13 and 23(d) to the Accounts.

Public Interest

The Board operates a policy of equal opportunities, regardless of gender, race, disability or sexuality.

The Board observes the principles of the CBI "Prompt Payment" Code and aims to pay all approved invoices within 30 days. However, currently the Board does not have the necessary procedures to measure its performance against the "Prompt Payment" code. From February 2002, the Board has performed a manual review of 10% of creditor payments to establish whether payment has been made in 30 days, using the invoice date as the start date for the 30-day period. A total sample of 170 invoices was reviewed and the results showed 82.35% of invoices were paid within 30 days.

Management

The South Yorkshire Probation Board carried out local governance of the service. This consisted of the following members:

Heather Harker (Chief Officer), Beryl Seaman (Chair), and

Mohammad Almas Abbasi, Saghir Alam, Roni Chapman, Diana Clark,
Owen Gleadall, Alan Goldsack, Shirley Harrison, John Hinchcliffe,
Mohammed Ismail, David Purchon, Hughes Redhead, Des Smith, Les Taylor.

Hughes Redhead and Des Smith were appointed on 23 January 2002.

Remuneration of the Board members is disclosed in Note 2c to the Accounts.

External Accountability

Under paragraph 16-17 of Schedule 1 of the Criminal Justice and Court Services Act 2000, the Board is required to send to the Secretary of State a report on the discharge of its functions during the year and its audited accounts. The Annual Report and Accounts will comply with the specific accounts directions issued by the Secretary of State with the consent of HM Treasury.

The Audit Commission has appointed the District Auditor as the external auditor for the South Yorkshire Probation Board. Their Certificate and Report is included from page 31.



Heather Harker
Chief Officer and Accountable Officer
for the Board

Date: 28 October 2002



Brian Kerslake
Treasurer to the Board

Date: 28 October 2002

Statement of Accountable Officer's Responsibilities

Under Schedule 1, paragraph 17(1)(b) of the Criminal Justice and Court Services Act 2000, local probation boards must prepare a statement of accounts in respect of each financial year, in conformity with an Accounts Direction issued by the Secretary of State and reproduced on page 34.

The accounts are prepared on an accruals basis and must give a true and fair view of the affairs of the Board at the year-end, the net operating costs, recognised gains and losses, and cash flows for the financial year.

In preparing the accounts, the Accountable Officer is expected to comply with the Probation Service Resourcing Accounting Manual, which is an adaptation of Treasury guidance, and in particular to:

- Observe the Accounts Direction issued by the Secretary of State, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- Make judgements and estimates on a reasonable basis;
- State whether applicable accounting standards have been followed, and disclose and explain any material departures in the Accounts;
- Prepare the accounts on a going concern basis, unless it is inappropriate to presume that the Probation Board will continue in operation.

The Secretary of State has appointed the Chief Officer as Accountable Officer of the Board. The responsibilities of an Accountable Officer, including responsibility for the propriety and regularity of the public finances for which the Accountable Officer is answerable, for the keeping of proper records, and for safeguarding the Board's assets, are set out in the Accountable Officer's Memorandum, issued by the Secretary of State.

Statement of Internal Control

As Accountable Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of the Home Office policies, aims and objectives, set by the Department's Ministers, whilst safeguarding the public funds and departmental assets for which I am personally responsible, in accordance with the responsibilities assigned to me in Government Accounting.

The system of internal control is designed to manage rather than eliminate the risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness.

The system of internal control is based on an ongoing process designed to identify the principal risks to the achievement of Board policies, aims and objectives, to evaluate the nature and extent of those risks and to manage them efficiently, effectively and economically.

Elements of these processes have been in place since April 2001 for the year ended 31 March 2002 and up to the date of approval of the Annual Report and Accounts. Key developments are outlined below; the Service already operates within an established range of policies, procedures and practices covering most aspects of its operation. Work is continuing to ensure that these processes are comprehensive, accessible, understood and fully embedded within the work of the Service. It is hoped to have these processes fully in place by the end of March 2003 in accordance with Treasury guidance.

The Senior Management Team and the Audit Committee have both considered preliminary reports on the establishment of a risk management strategy. Discussions have been held with the Service's Internal Audit Manager about the identification of key organisational risks and the controls (existing and required) to minimise these. The Internal Audit Plan allocates a significant number of days to the development of a risk register, as well as a risk policy and strategy. A seminar and workshop was held in September for senior managers and Audit Committee members and an Action Plan will follow from this to address the key issues identified. This will include the wider involvement of staff and Board Members.

The Audit Committee has agreed both the Internal and External Audit plans and has regularly reviewed the work of both auditors over the past year. An agreed protocol was in place covering the work of the auditors and opportunities for joint work were identified and undertaken. The Audit Committee has also reviewed and commended to the Board the adoption of new Financial Instructions in line with the model produced by the National Probation Directorate. The Board has also considered and adopted Standing Orders, a Register of Interests (covering both members and senior officers), and an Anti-Fraud and Corruption Policy. Arrangements for meeting Public Interest

Disclosure Act requirements are in hand and significant attention is being given to the implications and impact of the Human Rights Act. A Code of Conduct for Staff exists.

The Board maintains a comprehensive range of policies and procedures. These are available to all staff through a Lotus Notes Database. Policies are now compiled within a standard framework, although this is now being reviewed under an Improvement Project following on from the European Excellence self-assessment exercise. This will look to improved consistency and particularly the better development and implementation of policies.

My review of the effectiveness of the system of internal control is informed by the work of the Internal Auditors, the Audit Committee, Board members and senior managers who all have responsibilities for the development and maintenance of the internal control framework. The External Auditors comment on arrangements in their Annual Audit Letters and other reports. They adopt a managed audit approach to external audit work, which includes an assessment of the Board's system of internal financial control including the work of internal audit.



(Signed)

HEATHER HARKER
Chief Officer
South Yorkshire Probation Board
Date: 28 October 2002

Auditor's Report to the South Yorkshire Probation Board

We certify that we have audited the financial statements which have been prepared under the historical cost convention as modified by the revaluation of certain fixed assets and the accounting policies set out in the financial statements.

Respective Responsibilities of Accountable Officer and Auditor

The Accountable Officer is responsible for the preparation of the financial statements and for ensuring the regularity of financial transactions. The Accountable Officer is also responsible for the preparation of the other contents of the Annual Report. Our responsibilities, as independent auditor, are established by statute, the Code of Audit Practice, and guided by the Auditing Practices Board and the auditing profession's ethical guidance.

We report our opinion as to whether the financial statements give a true and fair view of the financial position and result of the operations of the Board and are properly prepared in accordance with the Criminal Justice and Court Services Act 2000 and directions made thereunder by the Secretary of State, and whether in all material respects the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them. We also report whether, in our opinion, the Foreword is not consistent with the financial statements, if the Board has not kept proper accounting records or if we have not received all the information and explanations we require for our audit.

We review whether the statement of internal control reflects the Board's compliance with the Treasury's guidance on the Statement of Internal Control. We are not required to consider whether the Chief Officer's Statement on Internal Control covers all risks and controls, or form an opinion on the effectiveness of the Board's system of internal financial control. Our review was not performed for any purpose connected with any specific transaction and should not be relied upon for any such purpose. We report if it does not meet the requirements specified by Treasury, or if the Statement is misleading or inconsistent with other information we are aware of from our audit of the financial statements.

Basis of Opinion

We conducted our audit in accordance with the Audit Commission Act 1998 and the Code of Audit Practice issued by the Audit Commission which requires compliance with the relevant auditing standards issued by the Auditing Practices Board.

An audit includes an examination, on a test basis, of evidence relevant to the amounts, disclosures and regularity of financial transactions included in the financial statements. It also includes an assessment of the significant estimates and judgements made by the Board in the preparation of the financial statements, of whether the accounting policies are appropriate to the Board's circumstances, consistently applied and adequately disclosed.

We planned and performed our audit so as to obtain all the information and explanations which we considered necessary in order to provide us with sufficient evidence to give reasonable assurance that the financial statements are free from material mis-statement, whether caused by error, or by fraud or other irregularity and that, in all material respects, the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conformed to the

authorities which govern them. In forming our opinion, we have also evaluated the overall adequacy of the presentation of information in the financial statements.

Opinion

In our opinion:

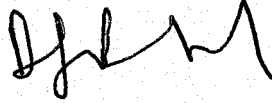
The financial statements give a true and fair view of the state of affairs of the South Yorkshire Probation Board at 31 March 2002 and of the net operating costs, recognised gains and losses and cash flows for the year then ended, and have been properly prepared in accordance with the Criminal Justice and Court Services Act 2000 and directions made thereunder by the Secretary of State;

In all material respects the material and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

Certificate

We certify that we have completed the audit of the accounts in accordance with the requirements of the Audit Commission Act 1998 and the Code of Audit Practice issued by the Audit Commission.

Signed:



David Brumhead
District Auditor
Littlemoor House
Littlemoor
ECKINGTON
Nr Sheffield
S21 4EF

Dated:

28/10/02

ACCOUNTS OF LOCAL PROBATION BOARDS IN ENGLAND AND WALES

ACCOUNTS DIRECTION GIVEN BY THE SECRETARY OF STATE IN ACCORDANCE WITH PARAGRAPHS 16(2) AND 17(1) OF SCHEDULE 1 TO THE CRIMINAL JUSTICE AND COURT SERVICES ACT 2000

This direction applies to the local probation boards listed in the attached Annex A.

Each board shall prepare a statement of accounts for the financial year ended 31 March 2002 and subsequent financial years, in compliance with the accounting principles and disclosure requirements of the National Probation Service Resource Accounting Manual ('the Resource Accounting Manual') which is in force for the relevant financial year. The statement of accounts shall be published within the report that the board is required to make to the Secretary of State on the performance of its functions for the relevant financial year.

The statement of accounts shall give a true and fair view of the net operating costs, recognised gains and losses and cash flows for the financial year and the state of financial affairs at the year-end.

Compliance with the requirements of the Resource Accounting Manual will, in all but exceptional circumstances, be necessary for the accounts to give a true and fair view. Any material departure from the Resource Accounting Manual should be discussed in the first instance with the National Probation Directorate.

A note setting out the relationship between the National Probation Service Resource Accounting Manual and the Treasury Resource Accounting Manual are attached at Annex B.

RAY McBURNEY

On behalf of the Secretary of State for the Home Department

29 May 2002

42 Probation Boards

Annex A

Avon & Somerset
Bedfordshire
Cambridgeshire
Cheshire
Cumbria
Derbyshire
Devon & Cornwall
Dorset
Durham
Dyfed-Powys
Essex
Gloucestershire
Greater Manchester
Gwent
Hampshire
Hertfordshire
Humberside
Kent
Lancashire
Leicestershire & Rutland
Lincolnshire
London
Merseyside
Norfolk
Northamptonshire
Northumbria
North Wales
North Yorkshire
Nottinghamshire
South Wales
South Yorkshire
Staffordshire
Suffolk
Surrey
Sussex
Teesside
Thames Valley
Warwickshire
West Mercia
West Midlands
West Yorkshire
Wiltshire

APPLICATION OF THE TREASURY RESOURCE ACCOUNTING MANUAL TO THE ACCOUNTS OF LOCAL PROBATION BOARDS

The Home Office has issued advice on the preparation of local probation board accounts in a National Probation Service Resource Accounting Manual. This provides specific guidance on the application of the principles and disclosure requirements of the Treasury Resource Accounting Manual to the circumstances of local probation boards, including the following agreed interpretations:

1. There is no requirement to prepare Schedule 1.
(Schedule 1 is a requirement specific to government departments and certain other public bodies funded by directly voted parliamentary grant)
2. Monies received as grant in aid should be treated as financing rather than income.
(Most bodies covered by RAM do not receive grant in aid, and are financed by voted parliamentary grant. This clarifies the correct treatment for the probation boards. Some public bodies account for grant in aid as income.)
3. There is no requirement to prepare Schedule 5
(This expenditure will however be attributed to departmental aims and objectives in the Home Office resource accounts)
4. The remuneration of key managers should be appropriately disclosed.
(Department Yellow reflects Cabinet Office guidance on the application of the Greenbury code to departmental resource accounts. The example disclosure for departments is not directly applicable to local probation boards. Nevertheless, boards should make disclosures that meet the spirit of the Greenbury code.)

Items will be added to or deleted from the above list only with the agreement of the Treasury.