

the  
Parole  
Board

working with others  
to protect the public

# Business Plan

## 2013/14

the Parole Board for England and Wales





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## **Parole Board for England and Wales**

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## Chairman's Foreword

**Sir David Calvert-Smith**

I am delighted to be introducing my first Business Plan for the Parole Board, although I am conscious of the huge job we have ahead of us in the coming year. The Business Plan sets us challenging, but achievable objectives, and will ensure we focus our energy and resources to deliver on our priorities for the year.

We continue to be faced with a large caseload, and in particular the growing numbers of cases requiring an oral hearing. During 2012-13 we held record numbers of hearings and managed to reduce our backlog of cases by 336 between June 2012 and June 2013. These efforts are still under way and have continued to be successful. In the first quarter of the current year, the Board was able to prepare and list the largest number of cases ever, with just over 1410 for April – June 2013. It did so without any increase in staff or members.

However, our workload is set to increase again during this year and oral hearings for IPP sentence prisoners is predicted to peak during 2014/15. The impact of the new sentencing provisions of the Legal Aid, Sentencing and Punishment of Offenders Act 2012 (LASPO) will also start to make itself felt in 2014.

This year will be, as it will for the whole of the public service, a challenging one. While the current financial situation has certainly provided the stimulus for changes which would have been desirable in any era it will require more than simply increased efficiency and the elimination of unnecessary waste. I believe that we have the team in place at Grenadier House and the support of the members on the frontline to achieve the necessary results without a decline in the service we provide to the public. This Business Plan provides the priorities and objectives to do this.

A handwritten signature in black ink, appearing to read 'D Calvert-Smith', written in a cursive style.

**Sir David Calvert-Smith**

**Chairman**

April 2013



## Chief Executive's Introduction

### Claire Bassett

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This year we approached developing our Business Plan in a different way, moving away from the formula used in previous years. This year the plan is straight forward, with clear objectives and targets, which will provide us with the right guide to deliver, in partnership, on our priorities.

The Plan is the result of a collaborative effort from both staff and members, and the result is a document that is owned and understood.

The priorities were developed by the Management Board and then finalised through workshops with key staff. They combine our primary function of protecting the public by risk assessing prisoners to decide if they can be safely released into the community with ensuring we have the right resources in the right place to support the organisation. We are also committed to undertaking a comprehensive review of our governance arrangements to ensure we have the right oversight for the future.

In developing the targets and key performance indicators we held staff briefings, workshops and engaged all staff through small team information briefs, as well as setting up specialist work groups for the various priorities. In doing this, we developed five key performance indicators that will provide a top level assessment of how we perform through the year. These are:

1. 100% of ready to list cases to receive an oral hearing within 90 calendar days of becoming ready to list.
2. To achieve an oral hearing conclusion rate of 1.4 cases concluded per panel.
3. To achieve an overall disposal rate of 110% of all cases referred to the Parole Board.
4. The End to End Review and Member

Programmes to achieve an overall Green RAG rating monthly.

5. To reduce the number of re-panels and re-referrals for reason of procedural error by 5%.

We have set ourselves hard targets but only by aiming high can we hope to achieve results and deliver to the standard that our partners, prisoners and the general public expect.

A handwritten signature in black ink, appearing to read 'Claire Bassett'.

**Claire Bassett**  
**Chief Executive**  
April 2013

# Our Mission

## Our mission statement

The Parole Board is an independent body that works with its criminal justice partners to protect the public by risk assessing prisoners to decide whether they can be safely released into the community.

## Our role and responsibilities

The Parole Board was established under the Criminal Justice Act 1967, and continued under the Criminal Justice Act 1991, which was amended by the Criminal Justice and Public Order Act 1994 to establish the Board as an Executive Non-Departmental Public Body from 1 July 1996. Under the provisions of the Crime (Sentences) Act 1997 and the Criminal Justice Act 2003 the Board's work now concentrates on violent and sexual offenders.

The Parole Board:

- considers, under the Criminal Justice Act 1991, the early release of determinate sentenced prisoners serving four years or more. Under the Parole Board (Transfer of Functions) Order 1998 and Coroners and Justice Act 2009 the Board has delegated authority to decide all such applications
- has authority, under the Crime (Sentences) Act 1997, to direct the release of life sentenced prisoners; those given indeterminate sentences for public protection; and persons detained at Her Majesty's Pleasure.
- considers, under the Crime (Sentences) Act 1997 (in the case of life and indeterminate sentenced prisoners), cases of prisoners who have been recalled to custody, and considers, under the Criminal Justice Act 2003 (as amended by the Criminal Justice & Immigration Act 2008 and Legal Aid, Sentencing and Punishment of Offenders Act

2012) cases of certain determinate prisoners who have been recalled to custody and determines whether re-release is appropriate.

The Board is guided in its work by the Parole Board Rules 2011 and Directions to the Board issued by the Secretary of State.

# Our Aims

The Parole Board aims to:

- Make risk assessments which are rigorous, fair and timely with the primary aim of protecting the public and which contribute to the rehabilitation of prisoners where appropriate.
- Demonstrate effective and accountable corporate governance by maintaining strong internal control, setting clear objectives and managing corporate risk and to deliver best value by optimum use of resources.
- Promote the independence of and public confidence in the work of the Board, while effectively managing change.

This business plan sets out how the Parole Board will rise to the challenge of an increasing workload and less resources during 2013-14. We are embarking on a process whereby we will modernise and improve our own ways of working and play a leading part in doing the same across the whole parole process. Improvements needed to reduce backlogs and reduce waste will need changes at many points in the parole process and we will be working closely with partners to do this.



# Priorities for 2013/14

These priorities have been identified by the Management Board and developed by managers and staff to reflect the things we need to focus on to deliver the purpose set out above. All these priorities reflect the need for the Parole Board to do better for less.

1. To make right and fair decisions at the right time: - To do this we will improve the way we work and how we do it to reduce delays and deferrals whilst maintaining the quality of decision making.
2. To improve the whole parole process by fostering and developing our expertise and working with others to improve the end to end process: - This reflects the work already begun on the end to end process and the plan submitted to ministers and to be over seen by the Generic Parole Process (GPP) Monitoring Board.
3. To make sure we have the right member resources and are using them as effectively as possible: - Member resource represents nearly half the Parole Board budget and we will be looking at how we use this and do our work.
4. To improve our working environment by ensuring business support - IT, finance, HR and training, are fit for purpose and by engaging staff across the Parole Board: - This reflects one of the Parole Board's biggest internal risks and our need to make sure these corporate functions can support the business and that staff feel engaged in it
5. To review and put in place strong and robust corporate governance; - This review has been planned for some time and will ensure that the Parole Board's governance is sufficiently robust and strong to support the Parole Board as it is now and will be in the future.

# Objectives

The following objectives have been identified to support each of the above priorities.

Where possible savings and efficiencies have been identified and quantified. The lack of detailed financial information with which to do this has made this difficult and more detailed analysis will be available in future plans.

ID	PRIORITY 1	To make right and fair decisions at the right time			
	OWNER:	Chief Executive Officer (1:1 and 1:2) Director Member Development and Practice (1:3)	Target	Baseline	Parole Board saving/ efficiency
1.1	OBJECTIVE 1:  To accurately define and then reduce the number of cases in the backlog: both work in progress and the Generic Parole Process (GPP) past target case list.	<p>Benefits - This will reduce delays for prisoners and unnecessary cost where prisoners can be released. It will also reduce risk of litigation and claims.</p> <p>By concluding the review we have also fulfilled our obligation under ECHR.</p> <p>Resources required - This work is about developing existing expertise of management, operational staff and members to work more effectively so no additional investment required, however it may require changes to processes and practice for staff, members and stakeholders and some investment to achieve this (see priority 2).</p>	GPP past target case list reduced by 50% to 691.	1382 (March 2013)	<p>Hearings take place on time and without delay.</p> <p>Savings for prisoners, victims, NOMS, legal reps etc.</p> <p>Less risk of challenge and compensation.</p> <p>Better use of existing resources.</p>
1.2	OBJECTIVE 2:  To increase the number of cases successfully concluded per panel	<p>Benefits - This will improve the rate at which cases are closed and reduce the number of deferrals; improving the prisoner's experience of the process, saving money across the system and within the Parole Board and reducing risks associated with delays. It will also maximise the usage of convened panels.</p> <p>Resources required - This work is about developing existing expertise of both management and operational staff and members to work more effectively so no additional investment required however it may require changes to processes and practice for staff, members and for stakeholders and some investment to achieve this (see priority 2).</p>	1.4 cases concluded per panel (KPI)	<p>1.0 (Dec 2012)</p> <p>Note: the estimated annual cost of concluding 1 case per panel instead of 2 cases per panel is approx 1.6 million.</p>	<p>The cost per case (listed on a panel) will be reduced if we can maximise our two case panels. The conservative estimate of the cost of a panel with one case is £1604.90 per case.</p> <p>A panel going ahead with 2 cases is approximately £802.45 per case. By increasing the number of cases concluded on a panel by 40% considerable waste will be reduced and efficiencies found.</p>

ID	OWNER:	Chief Executive Officer (1:1 and 1:2) Director Member Development and Practice (1:3)	Target	Parole Board saving/ efficiency
1.3	OBJECTIVE 3:  To increase confidence in the quality of decision making by delivering on the commitments and priority developments in the Member Quality Assurance Delivery Plan.	Benefits – Increased confidence in quality of decision making.  Members feeling appropriately supported and developed in order to make the right decisions.  Resources required – This work is about developing and delivering a robust quality assurance delivery plan for the membership and will be delivered by the Directorate Team working with members and the Operations and Litigation Team and may incur some investment to achieve this.	To develop and deliver a detailed plan.	Making the right and fair decisions.  Reduction in nugatory work.  Improved confidence in member decision making.

PRIORITY 2		To improve the whole parole process by fostering and developing our expertise and working with others to improve the end to end process			
ID	OWNER:	Director of Business Development	Target	Baseline	Parole Board saving/ efficiency
2.1	OBJECTIVE 1:  To deliver the Parole Board's commitments and priority projects in the End to End process Programme plan.	Benefits - Significant improvements to the whole parole process which mean better experience for those involved (prisoners, victims, NOMS, legal reps etc) and greater efficiency with less waste caused by deferred hearings or unnecessary delays. Less duplication and better use of e-working.  Improvement in services for stakeholders e.g. time, travel, cost etc.  Resources Required - Investment in improving Member IT Provision and DEP4 (PPUD), funding not secured. Stakeholder support for GPP and change programme.  PB Project Manager and support.	Delivery of each PB owned target within this jointly owned programme plan  Reduced deferral rate as a result (see 1.2).	Current deferral rate/ cost (see 1.2).	Removing unnecessary and ineffective steps within the current process.  This will be considered at the GPP Monitoring Board.
2.2	OBJECTIVE 2:  To improve the way we work with others through better communication and active engagement.	Benefits - Improved efficiency and working of parole process across organisations including improved customer service.  Greater shared understanding of roles and responsibilities of all involved in the process leading to more effective case progression and fair decisions. Targeted stakeholder mapping and engagement leading to more appropriately tailored events and accessible guidance and information  To improve the communication pathway for operational teams across the parole process including delivery of joint workshops and practitioner forums.  Resources Required - All agencies committing staff time for regional practitioner events and other networking initiatives.	Delivery of each project within the Stakeholder engagement programme on time.  To respond effectively to the results of stakeholder surveys.  Workshops and forums delivered to plan.		A more effective collaborative process and better shared understanding.

<b>PRIORITY 3</b>					
<b>To make sure we have the right member resources and are using them as effectively as possible</b>					
<b>ID</b>	<b>OWNER:</b>	<b>Director of Member Development and Practice</b>	<b>Target</b>	<b>Baseline</b>	<b>Parole Board saving/efficiency</b>
3.1	<p><b>OBJECTIVE 1:</b></p> <p>Complete a review of member remuneration and pay levels.</p>	<p>Benefits - Better distribution of existing member pay across different types of member activity resulting in better member engagement.</p> <p>Resources Required - Part 1 will be cost neutral in terms of pay and to be undertaken by directorate team to deliver immediate changes.</p> <p>Part 2 will take a strategic review of member remuneration to ensure that it is as fair as possible and in line with changes proposed in 3.2 and wider changes to the parole process.</p>	To complete first part by December 2013 and the second part by March 2014.		<p>Cost neutral but fairer.</p> <p>Better use of member resource and expertise and fairer remuneration</p>
3.2	<p><b>OBJECTIVE 2:</b></p> <p>To undertake a fundamental review of how member resource is utilised within the parole process.</p>	<p>Benefits - Improvements to how we deploy members to ensure the most effective contribution is achieved and to avoid revisiting cases using a number of different members.</p> <p>ICM improvements will assist with directions and directions compliance, and to increase significantly the possibility of a successful concluded hearing.</p> <p>Review of panel make-up will identify potential savings if single member panels or different panel make up can be implemented.</p> <p>Review role of Judicial Chairs on Lifer panels.</p> <p>Resources Required - To be conducted by directorate team.</p>	To develop and deliver detailed programme.		<p>Cost neutral but fairer.</p> <p>Better use of member resource and expertise and fairer remuneration</p>

<b>PRIORITY 4 To improve our working environment by ensuring business support - IT, finance, HR and training, are fit for purpose and by engaging staff across the Parole Board</b>					
<b>ID</b>	<b>OWNER:</b>	<b>Chief Executive Officer (4:1 and 4:2) Director of Business Development (4:3)</b>	<b>Target</b>	<b>Baseline</b>	<b>Parole Board saving/ efficiency</b>
4.1	<p><b>OBJECTIVE 1:</b> HR-</p> <p>To ensure the managers and staff of the PB are actively engaged, and are supported by robust and effective HR services</p>	<p>Benefits - Improved staff engagement, reduced grievances and complaints, better performance management and staff training. Greater engagement means reduced absence, better productivity and commitment to business. It will also mean change is easier to implement and more likely to succeed</p> <p>Resources Required - HR team to increase range of expertise and actions focussed on engagement. Some training costs and expert advice may be required.</p> <p>Staff engagement group leading some investment in training and staff away day but will be limited</p>	<p>Delivery of HR Plan.</p> <p>Improve staff engagement score to 60</p>	<p>Plan.</p> <p>2012 Survey results- 44%</p>	<p>Saving on staff/ management/ HR time of approx 15 days per year per grievance/ disciplinary and up to £50,000 to defend an Employment Tribunal.</p> <p>Contribution to fairer and more rigorous performance management</p> <p>Time saved in reduction in nugatory work required by managers and HR as interventions.</p>
4.2	<p><b>OBJECTIVE 2:</b> Financial management-</p> <p>To put in place robust and modern financial management and awareness which allow directors and managers to understand this aspect of their business and use the information to improve efficiency and the way we work.</p>	<p>Benefits - Better day to day financial management will improve realisation of savings and forecasts. Understanding of cost drivers will mean better planning and modelling for efficiency.</p> <p>Resources Required - Currently reliant on interim head of finance and some restructuring required.</p> <p>Change of financial IT platform will be necessary</p>	<p>All Q returns completed accurately and on time.</p> <p>2013-14 budget which is accurate within 2% margin.</p> <p>Develop capacity to analyse our financial performance at department level.</p>		<p>Possible savings on IT/ moves to shared services.</p> <p>Reduction in cost of finance department through efficiencies.</p> <p>Potential future savings will be identified as a result.</p>
4.3	<p><b>OBJECTIVE 3:</b> IT-</p> <p>To improve the provision of ICT facilities for members to achieve greater electronic working and to support more intelligent and efficient ways of working by linking members with case managers and stakeholders.</p>	<p>Benefits - As we adapt our use of IT throughout the business, we are able to improve the use of existing processes, reduce waste and make savings in areas whilst ensuring that that key objectives and goals are achieved and preparing for future ones.</p> <p>Errors and delays caused by e-data loss will be greatly reduced once not dependent on CJSM email.</p> <p>Resources Required - Funding for DOM1 laptops or VPN and funding for DEP 4 yet to be agreed.</p>	<p>To be agreed once solution identified.</p>		<p>Potential savings regarding courier costs, expenses and staff time. These will be costed as part of business case.</p>

<b>PRIORITY 5 To review and put in place strong and robust corporate governance</b>					
ID	OWNER:	Director of Member Development and Practice	Target	Baseline	Parole Board saving/ efficiency
5.1	<b>OBJECTIVE 1:</b>  Delivery of corporate governance review programme plan which will deliver improved structures, clarity of roles and better communication.	Benefits - Good corporate governance which will allow decision making and the Board to function properly. Also improved communications.  Improved use of Project Management to deliver key work strands.  Improved management information on performance and success of core business and projects.  More joined up approach to corporate risks.  Resources Required - Programme management and research support to be found within existing resources.	Deliver programme plan by year end.  Implementation of Project Management toolkit approach – Q1.  As above.  New Risk Framework – Q1.		Less waste in terms of time and due to poor communications
5.2	<b>OBJECTIVE 2:</b>  Triennial review- to ensure the Parole Board is prepared for this and plays a full part in ensuring all necessary information is available.	Benefits - Continuing to make effective and fair decisions that protect the public whilst providing a fair system for the prison.  Resources Required - To be agreed as part of the planning process.			

# Assumptions and dependencies

This business plan has been prepared on the basis that current levels of resourcing will be available and that workloads will remain as predicted. Incoming referrals have been forecasted at a 5% increase year on year. It also assumes that wider changes and spending restrictions in the criminal justice system will not prevent us delivering changes required.

There are some activities included where funding has not yet been secured, particularly in IT and these are highlighted above. This is because these activities are seen as key to successful delivery of our plans and business cases are currently being prepared for them.

The role of the Parole Board within the wider parole process means there are a high number of operational dependencies in the way we work and the actions of others will often have a direct effect on our ability to deliver. The strongest example of this is deferrals where they often

occur as a result of actions of others, for example witnesses or report writers. The Parole Board is committed to driving up performance across this process and has led the introduction of the end to end review which is now overseen by the joint Generic Parole Process Monitoring Board and activity and targets arising out of this review have been included in the business plan.

# Beyond 2013-14

This business plan brings together the priorities identified by the Parole Board to enable it to meet the challenges ahead; these will not be limited to 2013-14.

Workload is expected to peak in 2014 which means the next two years will see the Parole Board and the wider parole process under greatest pressure. It will then be important that savings generated by the slow reduction in workload are captured. Improvements to financial management, corporate services and performance management will make us better equipped to meet these challenges.

The rehabilitation revolution will mean considerable change in probation and we will be seeking to inform the current consultation process as far as possible. Beyond 2013-14 this may mean changes to how we work with public protection parts of probation and how release plans are prepared and managed.





