Report on the Thematic Review of Business Planning

Report 2/03   **March 2003**

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Preface

Her Majesty's Crown Prosecution Service Inspectorate (HMCPSI) was established by the Crown Prosecution Service Inspectorate Act 2000 as an independent statutory body. The Chief Inspector is appointed by, and reports to, the Attorney General.

HMCPSI's purpose is to promote continuous improvement in the efficiency, effectiveness and fairness of the prosecution services within a joined-up criminal justice system, through a process of inspection and evaluation; the provision of advice; and the identification of good practice. It works in partnership with other criminal justice inspectorates and agencies, including the Crown Prosecution Service (CPS) itself, but without compromising its robust independence.

Although this report reflects the work of a thematic review, the main focus of the HMCPSI work programme is the inspection of business units within the CPS - the 42 Areas and Headquarters Directorates. In 2002, HMCPSI completed its first cycle of inspections during which it visited, and published reports on, each of the 42 CPS Areas, as well as the Casework Directorate and Policy Directorate within CPS Headquarters. A limited amount of re-inspection was also undertaken. This report comes at the beginning of the second cycle of inspections.

Throughout the inspection cycle, it is likely that themes will recur, or be of particular importance, either within the CPS or the criminal justice system, and which, it is felt, require a more in depth review. This report is of one such thematic review. Thematic reviews may be carried out by HMCPSI alone, or in association with other criminal justice inspectorates. Since October 2001, HMCPSI have been involved in nine of these reviews.

HMCPSI has offices in London and York. The London office has two Groups which undertake inspections in the Midlands and Wales, and in Southern England. The Group based in York undertakes inspections in Northern England. Both offices also work on thematic reviews and joint inspections with other criminal justice inspectorates. At any given time, HMCPSI is likely to be conducting six geographically-based or Directorate inspections and two thematic reviews, as well as joint inspections.

The Inspectorate's reports identify strengths and aspects for improvement, draw attention to good practice and make recommendations in respect of those aspects of the performance which most need to be improved.

1. Introduction

Purpose of the Review

During the course of our first cycle of inspections of CPS business units, HMCPSI formed the view that business planning was an underdeveloped area of work within the CPS.

The CPS has devolved responsibility for delivery of its service to its 42 CCPs. With this devolved responsibility, the need for good governance and planning for operational delivery is necessary in a way that was not the case under the previous organisational arrangements of the CPS. Planning, its purpose, and the processes that should be in place to help the organisation achieve what it has to achieve, have not been fully developed within the new structure.

It is not unusual, in an organisation where many staff have professional qualifications and are committed to the principles of that profession, to find that they are not naturally committed to the concepts of planning, or the specification of objectives and targets, or to performance monitoring. For many, the planning process is seen as an unnecessary administrative burden, rather than as an aid to management and more effective performance.

In many units, although not all, the Inspectorate found that lip service was paid to the notion of business planning. The function of business planning was associated almost exclusively with the production of business plans, a practice that is well established across the organisation, but the relevance of the planning process itself to 'getting the job done' was not particularly apparent to those responsible for day-to-day operations. The monitoring and review of business objectives was weak.

The CPS has also recognised its weaknesses in this area, and has been anxious to improve management practice, performance management, and delivery. These factors, together with government's focus on delivery and improved performance across the CJS, and proposals to reorganise CPS Headquarters, made a thematic review of business planning appropriate at this time.

The Inspectorate's approach

In examining the planning process, the Inspectorate has sought to provide a constructive analysis of the way things stand, recognise the improvements that have been made and identify issues that still need to be addressed. This report does not, therefore, narrate the steps in the organisation's planning process and comment stage by stage. Recommendations are made in respect of aspects that need further consideration by the organisation.

This review concentrates mainly on business planning. While it refers to strategic planning and the links between the two, it does not address processes in place for strategic planning currently undertaken at CJS level. Arrangements for planning across the CJS are in the process of change, with the development of a specific requirement for joint agency planning at local level, joint delivery agreements and joint responsibility for performance; indeed, there are potential implications for the lines of accountability. Further change is probable - joint planning at national level has yet to be fully developed, and CJS and agency planning has yet to be effectively synchronised. This review recognises the possibility of future changed expectations for criminal justice planning, and has taken the view that this highlights further the need for individual agencies to have in place structures, processes, levels of understanding and expertise, as well as the supporting culture, to enable effective planning to take place, both jointly with criminal justice partners and internally, which will ensure delivery.

The CPS has recognised the need, and taken steps to improve, arrangements for monitoring performance. This thematic review has been undertaken on the assumption that senior management also recognises the need, concomitantly, to improve business planning.

Issues relating to the detail of CPS Area and Service Centre planning have been dealt with in HMCPSI's Planning Guidance for CPS Areas and Service Centres, published in December 2002 as part of this thematic review.

Drivers for change - the need to plan for improvement and delivery

There are a number of drivers for change:

☞ **The expectations of government**

✔ _Delivery and joint planning between agencies._ The effective and efficient operation of the criminal justice system is high on the political agenda, and is likely to remain so for some time to come. For 2003-2006 the PSA targets, and the requirement that there is joint agency planning to achieve them, will govern large parts of the activity of individual agencies. Agencies are required to plan, and work together to achieve the targets, and new systems for joint accountability have been established, with local Areas reporting quarterly to the national Criminal Justice Board. All agencies are now required to show, individually and jointly, quantifiable improvements in process, performance, service delivery and outcomes.

Such a requirement means that agencies must know and understand the capacity of their organisation to deliver what has to be delivered, within agreed timescales, monitor closely the achievement of interim targets and milestones, and react quickly either to changed circumstances or under performance. None of this can happen without a comprehensive planning

process being in place, which allows for analysis of the current and changing circumstances, the development of clear objectives and actions needed to achieve them, and an understanding of the possible obstacles to success and how to address them (risk management). Delivery needs to be supported by plans, which make responsibilities and timescales for action clear, are subject to regular monitoring and review, and for which key officers are held accountable.

The focus on delivery means that there needs to be a coherent approach to planning across the CPS, and coherence between the strategies and actions of business units throughout the organisation.

✔ _Governance._ Governance is the means by which an organisation is controlled and directed to achieve its objectives. Risks may threaten the achievement of objectives and for this reason must be managed. Good business planning enables effective control of risk - only when priorities and objectives are clear can the risks to their achievement be properly assessed. The Treasury, as part of its corporate governance initiative, requires Internal Audit of each central Government Department and Agency to provide assurance about the adequacy of the organisation's risk and control mechanisms.

The CPS's Management Audit Service (MAS) has conducted two reviews of governance within the CPS; a review conducted in 2000 considered governance at corporate level; a second review in 2001 considered governance within CPS business units. Both reviews contained recommendations in the area of business planning. An interim review carried out in October 2002, to assess, amongst other things, the extent to which recommendations in the reports had been acted upon, found that although some progress had been made, some key recommendations, which related to planning, had not been implemented. A table is at **Annex 1**.

For the year 2002-2003, MAS was only able to give a limited assurance that the strategic and business planning arrangements within the CPS were adequate and reliable.

☞ **Fresh internal expectations**

✔ _Drives for continuous improvement_. The CPS has recognised the need to improve performance, and to become an organisation that continuously improves. Substantial resources have been put into introducing the organisation to the Business Excellence Model, and assisting business units to use it. Good planning is required to bring about the necessary improvements that are identified through using the Model.

✔ *Improved management of performance and risk.* A new performance management regime is being introduced. Information will now be available to the CPS Board about day-to-day performance and the implementation of new structures and initiatives, which will both provide assurances about current activity and provide the basis for future decisions. Risk management, although in the early stages of development, has been introduced, championed and supported. Both need to be part of a bigger package, which includes effective planning for delivery, to be effective and worthwhile of themselves.

✔ *HQ review.* A review of the operation and responsibilities of directorates within CPS Headquarters has led to proposals for the redistribution of functions and the creation of a new directorate, the Business Development Directorate, to support operational units by co-ordinating and communicating change, developing a programme and project based approach to the implementation of policy, and monitoring and supporting performance. The reorganisation of functions within Headquarters provides a timely opportunity to review the structures and processes needed for effective planning. Without effective planning, changes will not be delivered.

✔ *Vision.* The DPP and Chief Executive are focussed on delivery of the PSA targets, and have presented clear messages to the organisation about priorities for 2003-2006. Both have recognised the need for clear and effective planning to enable the CJS targets and the organisation's priorities to be achieved.

☞ **The Inspectorate's expectations**

✔ *Leadership and governance.* As part of its inspection of leadership and governance arrangements in CPS business units, the Inspectorate will examine the extent to which effective plans of action, which identify key issues and reflect CJS and CPS strategic priorities, as well as local needs, are in place. A fuller description of the Inspectorate's approach can be found in the Inspectorate's Framework for Inspection.

✔ *Strategic development.* The CPS is at a stage in its development where it has the resources to bring about a step change in performance, through the development of a pertinent strategy backed up by sound business planning. The Inspectorate expects that a clear strategy will be in existence, which informs, and has been informed by, operational activity and capacity.

✔ *Planning processes.* As part of this Review, the Inspectorate has issued planning guidance to all Areas and Service Centres to help managers to understand how good planning can help with delivery, and which provides guidance on how to approach the planning process. The Inspectorate expects that Areas and Service Centres will review their processes against the guidance, to ensure they are fit for the purpose.

All these drivers for change call for a fresh approach to planning within the organisation.

Evidence collection

In order to examine the process of business planning across the CPS, the Inspectorate has:

✔ Examined and analysed corporate, Area and Service Centre Business Plans for 2002-2003, and some Area plans for 2001-2002.

✔ Sought information from all Areas and Service Centres, by questionnaire, about each unit's approach to the planning process and the obstacles to effective planning.

✔ Interviewed key staff within CPS Headquarters including the Chief Executive, the Head of the Strategic Planning Unit (SPU), the CPS Change Manager, staff from MAS, and those involved in planning in most Directorates.

✔ Interviewed some CCP members of the Planning and Risk Sub Group of the CPS Board.

✔ Conducted follow up interviews with some CCPs and Service Centre Managers.

✔ Held a seminar with some CCPs, ABMs, and representatives from the Criminal Justice Joint Planning Unit (CJJPU), other criminal justice agencies, and those with knowledge of the criminal justice system.

The evidence collected was used to inform both this report and the Inspectorate's Planning Guidance to Areas and Service Centres, published in December 2002.

The key findings from analysis of Area and Service Centre plans, and of questionnaire responses, are set out in **Annex 2**.

Throughout, the thematic review team has reported to a steering group comprising Stephen Wooler, HM Chief Inspector (Chair); Richard Foster, Chief Executive, CPS; Ann Marie Field, Head of the Criminal Justice Joint Planning Unit (CJJPU); Jackie Wilson, Head of CPS Strategic Planning Unit (SPU); Helen Jones, member of the Attorney General's Advisory Board; Kate Flannery, HM Inspector, Her Majesty's Inspectorate of Constabulary (HMIC) and James Barker-McCardle, Assistant Chief Constable, Kent Constabulary.

The Inspectorate review team was assisted throughout by Kate Flannery.

Key findings of the Review

Improvements in planning already underway:

> ✔ The Autumn Senior Management Conference was successful and gave a clear steer on future priorities to assist units to begin planning.
>
> ✔ The CPS is to produce its own delivery plans to support the CJS delivery plans for each PSA target.
>
> ✔ The Chief Executive has stated that clear, detailed plans are needed at unit, Area and national level which form the basis for action.
>
> ✔ There is recognition of the need for greater accountability for delivery.
>
> ✔ The CPS Board is to consider performance information regularly and new casework performance management systems are to be introduced.
>
> ✔ The concept and understanding of risk management is growing across the organisation.
>
> ✔ The establishment of the new Business Development Directorate should mean that Areas and Service Centres will be helped to deliver against their plans.

Aspects that still need addressing:

> ☞ Planning across the organisation lacks coherence; Area, Service Centre, and Directorate planning is disconnected.
>
> ☞ Ownership of the planning process is not clear.
>
> ☞ The HQ review did not specifically address structures to support strategic and business planning.
>
> ☞ There are limited links between planned actions, and the resources necessary to achieve them, at all levels within the organisation.
>
> ☞ Planning is not linked to delivery - plans don't drive the business and business units are not accountable for delivery against them.
>
> ☞ Timing. The planning timetable is uncertain and Area and Service Centre plans are commissioned too late, which discourages the adoption of a meaningful planning process.

> ☞ Business planning, as it has been traditionally practised, appears irrelevant to some managers charged with implementing initiatives that appear outside the normal planning timetable or cycle.
>
> ☞ Planning and plans do not focus on priorities.
>
> ☞ The purpose of business planning is not clearly understood across the organisation.

Recommendations

We recommend:

The Business Planning Framework and the Purpose of Planning

1. That the CPS build on this report, and reassess its position against the business planning framework set out in paragraph 2.1 of this report, and the controls that need to be in place to support it, in order to inform its thinking about its planning processes.

2. That a corporate understanding is developed and promulgated about the purposes of planning within the CPS.

Structures for, and Ownership of, the Planning Process

3. That the Board's Terms of Reference set out the roles and responsibilities of the Board for all key areas of governance, including for strategic and business planning, and the monitoring of performance and achievement of objectives.

4. That in developing structures to support the Board in the planning process, Terms of Reference are developed which clearly set out the purpose and responsibilities of any sub-committee or executive group, its relationship with the Board, and with any wider planning forums.

5. That the purpose of the submission of Area and Service Centre plans, their scrutiny and the use made of them centrally, is carefully re-examined in the light of other recommendations in this report.

6. That ownership of, and responsibility for, the integrity, coherence and efficacy of planning throughout the CPS is determined and supported by relevant structures.

7. That the role and responsibilities of the SPU are reviewed, and its relationship with operational units and the Business Development Directorate is determined.

8.   That clear expectations are set for the planning process and in particular that:

☞   the CPS considers, and acts on, the recommendation made by its own Management Audit Service that a comprehensive strategic planning approach is identified and consistently applied.

☞   the CPS clarifies its view of, and approach to, use of the Excellence Model.

Planning documents

9.   That the CPS considers whether the business planning period for Areas should be extended for a period of up to three years, properly supported by shorter term action, delivery or project plans for key objectives, to better assist the delivery of strategic objectives.

10.   That the Headquarters Business Plan is no longer produced.

11.   That:

☞   clear expectations are set for the quality and use to be made of planning documents across the organisation; and

☞   Business Plans are used as the basis for discussion at performance reviews between CCPs, the DPP and Chief Executive, and that the performance review scheme is extended to include reviews of Directorate performance against planned objectives, targets and actions.

Links between planning and the allocation of resources

12.   That the CPS formally considers whether business planning should inform the need for, and allocation of resources, across the organisation.

The planning cycle and timetable

13.   That the timetable for planning activity throughout the organisation is reviewed to ensure that business planning activity starts earlier in the year, that priorities, objectives, and annual targets are established earlier than at present, and that the Corporate Business Plan is finalised by the end of December.

2.   The Business Planning Framework and the Purpose of Planning

The business planning framework

2.1   The Government's focus on improving public sector services and productivity has been accompanied by the promotion and dissemination of a framework for business planning in the public sector[1]. The model suggests that business planning consists of five basic building blocks:

☞   Bold aspirations which define and communicate a compelling and stretching aspiration for the future.

☞   Long and short-term targets which translate these aspirations into measurable long (three to five year) and short term annual targets, the latter derived from PSA targets and translated to the operational level, against which performance and progress can be measured.

☞   Ownership and accountability - every short and long term target must be owned, either individually or collectively (e.g. by teams or organisational units), but must result in specific responsibilities for delivering each target.

☞   Rigorous performance review, through the establishment of a robust performance monitoring and review system.

☞   Reinforcement and incentives, through the establishment of reinforcing mechanisms, which encompass an appropriate set of positive and negative incentives.

2.2   Our assessment of the CPS's current position, when set against these building blocks, is set out on the following page:

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[1]   The model appears in the joint Cabinet Office and HM Treasury publication *Your delivery strategy; a practical look at business planning and risk*. Further information about the model can be found there, and in guidance on the conduct of quinqennial reviews of agencies at: www.civil-service.gov.uk/agencies

Building block	Overall assessment
☞ Bold aspirations	Historically, the organisation has not been bold in its aspirations. Its principal aim: "*to contribute to the reduction both of crime and the fear of crime and to increase public confidence in the criminal justice system **by fair and independent review of cases, and by, fair and effective presentation in court***", and its supporting objectives, are largely process, rather than outcome, based. The development of strategic themes (**Annex 4**) set bolder goals for the service but their impact has been weakened by the failure to set measurable targets for, and measure, their achievement. Bold aspirations for the CJS as a whole have been set through the PSA targets, and the Director has indicated his vision and aspirations for the Service which now need to be translated into measurable objectives. Suitable structures need to be in place to enable relevant and stretching strategic objectives to be developed for the future.
☞ Measurable long and short term targets	Overall, target setting within the organisation has been weak. Measurable long-term targets have not been set. Some annual, process-based targets have been set for supporting objectives. MAS commented in its Review of Corporate Governance (2000) on the need for inclusion of objectives that were specific, measurable, achievable, relevant, and time-bound. Measurable long and short term targets were also absent in business unit planning. HMCPSI's Planning Guidance for CPS Areas and Service Centres gives examples of how to set such targets.
☞ Ownership and accountability	The model suggests that specific responsibility must be assigned for delivery of each target. In current plans some responsibilities for activities under the strategic themes are allocated to HQ directors, but their responsibilities largely relate to HQ activity. Responsibility for the delivery of targets across the organisation as a whole has been problematic within the CPS because of its collegiate approach to management, and the responsibilities devolved to individual CCPs at Area level. It is difficult therefore for individuals, whether within Headquarters or Areas, to be national target owners or national champions. However, good governance requires that the organisation is properly controlled and directed to achieve its objectives. Responsibilities will, therefore, need to be allocated for the delivery of targets, when they are finalised. Draft delivery plans suggest that responsibilities are being allocated. Activity at business unit level largely mirrors that nationally and responsibility for delivery of objectives and targets has not generally been allocated. HMCPSI's Planning Guidance for Areas and Service Centres recommends that such responsibilities are allocated. Generally, senior staff at director level and within business units are not held accountable for delivery of their plans and targets, although new arrangements for performance meetings between the DPP, Chief Executive and individual CCPs are being developed.
☞ Rigorous performance review	The organisation has recognised that it has not been good at monitoring performance against strategic and business objectives. A performance management regime is being established, but at the time of writing this report, it had yet to get fully underway. Its rigorousness, and the way and extent to which it is used to inform future strategic and business planning, is as yet unknown.
☞ Reinforcement and incentives	The explanatory commentary on this building block suggests that a consequence management system is needed, with positive consequences for success and negative consequences for failure, however that might be defined. A consequence management system is not in place.

2.3   Controls also need to be in place to support the business planning framework. In particular:

- ☞ The performance management regime must meet the needs of the business planning framework.

- ☞ The governance system must be an essential part of corporate planning, budgeting, and monitoring arrangements, and must ensure that there is satisfactory control taken of all operations undertaken by the organisation.

- ☞ The organisation needs to have a budgeting and resource planning system, which plans who will do what, by when, and with what resources.

2.4   An organisation's performance management regime and its business planning framework are therefore inextricably linked. The CPS is currently developing its performance management information and arrangements for reporting, but the links between performance management and business planning have yet to be developed. It is the organisation's intention to develop a balanced scorecard approach[2] to performance management, but work on this has yet to begin properly.

2.5   Arrangements for governance and for linking planned activity with resources are dealt with in Sections 3 and 6 of this report.

2.6   The organisation, in the light of this report, should carry out its own assessment of its position against the building blocks of an effective business planning framework, and review whether the controls which support the business planning framework are also in place.

> **Recommendation: that the CPS build on this report, and reassess its position against the business planning framework set out in paragraph 2.1, and the controls that need to be in place to support it, in order to inform its thinking about its planning processes.**

The purpose of planning

2.7   The focus on delivery, the development of sharper PSA targets, and the introduction of more formal arrangements for CJS planning at local level has given a new impetus to planning and plans within the CPS, and requires that the CPS takes a fresh look at its planning practices and structures.

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[2]   The balanced scorecard is a management system which views an organisation through four perspectives: Learning and growth, Business process, Customer and Financial. Further information on using the balanced scorecard in the public sector is available at www.balancedscorecard.org

2.8 It is the Government's view that robust business planning is essential to delivery[3]. The joint Cabinet Office and Treasury publication, *Your delivery strategy; a practical look at business planning and risk*, sets out what good business planning should be about:

✔ Ensuring you know what you are going to do and how you are going to do it.

✔ Deciding what results you want and making sure everyone is focussed on delivering those results.

✔ Ensuring you have the capability to deliver.

✔ Building in flexibility to respond to things you don't expect.

✔ Making sure you allocate money, people, time and energy to support the outcomes you are looking for and avoid the outcomes you don't want.

✔ Enabling you to feed into spending reviews effectively, agree and ensure the delivery of realistic PSAs, and satisfy the requirements of Resource Accounting and Budgeting.

✔ Ensuring good practice in relation to Corporate Governance.

✔ Helping you to understand:

☛ the environment you work in;

☛ your stakeholders, and what they want from the organisation;

☛ the risks to delivering your objectives and how to manage them.

2.9 This review has found that, while Directorates and business units recognise that they must plan, levels of understanding about the purpose and nature of planning, the commitment to it, the approaches that are used, and the quality and use made of the final working plan, are very variable. The CPS needs to be satisfied that an approach is adopted throughout the Service that is robust enough to enable the CPS to deliver the levels of performance that are now required, both of it and across the CJS. Good planning throughout the organisation can no longer be optional.

2.10 The Director and Chief Executive made it clear at the autumn Senior Management Conference that that they expected good planning processes and effective plans to be in place across the organisation. While this is clearly the right message to give, the challenge for the CPS is how best to reinforce that message and give it practical effect.

2.11 HMCPSI has produced, as part of this thematic review, guidance on planning, specifically aimed at CPS Areas and Service Centres, although with a wider application, which identifies the key elements involved in good planning processes and good practice in relation to planning documents. The CPS's own internal Management Audit Service (MAS) has led the way in providing training in the use of the Excellence Model and in risk management to help the organisation, particularly business units, analyse what needs to be done. MAS has also identified, and made a recommendation in its Review of Governance of CPS Business Units 2001 (**Annex 1**) about, the need for training in business planning. However, it is not appropriate for interest levels and good practice in business planning to be maintained and articulated largely by two units, the Inspectorate and MAS, that sit outside the mainstream of operational activity. The organisation has to take on this role for itself.

2.12 Cultural issues remain to be addressed to improve the levels of acceptance among some senior and middle managers of the relevance of planning and good management to successful operations, and there is clearly a need for understanding and skills in this area of work to be improved. Considerable thought needs to be given to the structures and central processes that should be in place to enable effective and coherent planning across the organisation, and to ensure that the right levels of trust exist between the operational units and the centre about the quality and relevance of the planning that is taking place. If high-level arrangements for planning are right, the likelihood of good operational planning is much greater.

2.13 A first task, therefore, must be to develop and ensure a corporate understanding about the purposes of planning within the CPS and, thereafter, to set clear expectations about the processes involved and the quality and use made of planning documents, across the organisation. Only when the purpose and expectations have been articulated can the organisation turn its mind to the structures that need to be in place to support them.

> **Recommendation: that a corporate understanding is developed and promulgated about the purposes of planning within the CPS.**

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[3] Office of Public Services Reform; Office of Government Commerce

3. Structures for, and Ownership of, the Planning Process

Structures for planning

3.1 The Headquarters review does not specifically consider structures needed to support effective planning across the organisation.

3.2 Formal structures for planning within the organisation are the:

- ☛ CPS Board, with whom responsibility for decisions on strategy and planned business activity rests;

- ☛ Planning and Risk Sub Group of the CPS Board;

- ☛ Strategic Planning Unit (SPU);

- ☛ Internal Resources and Performance Branch (IRPB) of the Finance Directorate; and

- ☛ Management Audit Services (MAS) - who provide advice on, and support for, good business practice.

3.3 The proposed development of a new Business Development Directorate and its responsibilities are dealt with at paragraphs 3.40-3.42.

The CPS Board

3.4 The CPS Board is currently made up of the Director of Public Prosecutions (DPP), the Chief Executive, the Headquarters Directors, the Head of the Equality and Diversity Unit, the Head of Communications, and 10 CCPs, (the CCP for London and nine others based on regional family groups). CCPs, other than the CCP for London who is permanent member of the Board, serve for two years in rotation. There are also two non-executive Directors from outside the civil service. HM Chief Inspector of the CPS attends as an observer. However, the recently conducted review of the Headquarters' organisational structure suggested that the composition and constitution of the Board should be re-examined; in particular, membership should be reduced and there should be a re-examination of its key areas of responsibility.

3.5 The Board's current responsibility for planning and related matters is set out in its objectives as (amongst other things):

- ☛ "to promote/champion vision and values

- ☛ to set the direction (strategic plan, business plan, priorities)

- ☛ to ensure governance structure is fit for purpose

☞ to determine key strategies (e.g. IT, people, approach to resource allocation)

☞ to monitor progress against strategic plan/programmes

☞ to monitor performance regularly

☞ to adjust priorities if necessary."

3.6 The Board has recently begun to consider performance information regularly and is currently developing its role in the monitoring of performance.

3.7 The CPS has recognised, however, that it has not been good at regularly monitoring the achievement of its strategic and business objectives. The new performance management regime should enable strategic and business objectives to be monitored more easily, and reviewed regularly by the board, as part of good governance of the Service.

3.8 We support the view of those who carried out the Headquarters review, that the membership of the Board should be smaller and key areas of its responsibilities re-examined. Currently the size of the Board is reported to be unwieldy which often makes meaningful discussion difficult. A changed and smaller membership would strengthen the Board's ability to set and deliver meaningful objectives for the service. Changes in membership and constitution would naturally necessitate a review of the Board's Terms of Reference and objectives. The Board's responsibilities in the area of strategic and business planning and for the management and monitoring of performance should be clearly set out in its terms of reference as part of its overall responsibility for the good governance.

> **Recommendation: that the Board's Terms of Reference set out the roles and responsibilities of the Board for all key areas of governance, including for strategic and business planning, and the monitoring of performance and achievement of organisational objectives.**

The Planning and Risk Sub Group

3.9 The group originally consisted of four CCPs, staff from MAS, the Director of Policy, the Head of the SPU and the Head of the Diversity Unit. In March 2001 the Terms of Reference for the Sub Group were established:

"to advise the Board on:

☞ the incorporation of EFQM principles into the planning process

☞ how best to factor key risks into the planning process

note: it is not the sub-group's role to identify key risks".

3.10 Since then the membership and role of the Sub Group has expanded, and membership now consists four CCPs, the Directors of the Business Information Systems, Finance, Human Resources, and Policy Directorates, the Head of the SPU, the Head of the Diversity Unit and staff from MAS. HM Chief Inspector of the CPS attends as an observer; the Change Manager also attends.

3.11 The role of the Group was expanded to include preparatory work on SR2002 as part of a review of CPS strategy. In particular the Group's remit was "to develop a view of the future and work up a strategy and a framework, which would include a range of individual initiatives that would need to be undertaken to deliver the future vision". In taking this work forward it was decided that the Sub Group would also identify the key risks to delivery, and confirm the priorities for the one-year Business Plan 2002-2003.

3.12 The risk profile of the organisation, and the management of risk within it are also being taken forward by some members the Group.

3.13 While the Group has worked well to develop the organisation's approach to risk (a new and unfamiliar area for most members), concerns and uncertainties were expressed about how the Group functions:

☞ Although CCPs are appointed to serve on the Group in their capacity as Board members, some find it difficult to set aside the representational role that underpins their membership of the Board itself. This can be problematic since immediate questions and answers are sometimes put and sought.

☞ Membership of the Group changes with changes in membership of the Board, which adversely affects continuity and the effectiveness of the Group.

☞ Directors do not always attend.

☞ The Group was described as uncertain of its identity and as very 'hit and miss' in the way it operated. Members reported that they found the Sub Group's links with the decision making process unclear.

☞ The Group, in considering priorities, does not influence resources, nor does it consider resources when examining priorities.

☞ In considering priorities the Group does not review performance either; it considers what has been achieved only in broad terms.

3.14 Paragraph 3.4 refers to the fact that the composition of the Board will be reviewed, and in all likelihood have a smaller membership. The proposed smaller membership of the Board should mean that the Board itself naturally becomes the forum for developing strategic and business priorities, informed by a greater knowledge of performance, and with advice from appropriate officers.

3.15 Changes to the Board would inevitably mean changes to any sub groups supporting it. The current membership of the Planning and Risk Sub Group is diffuse and consists of a number of senior people, who are already members of the Board and who have many demands on their time. Thought needs to be given to the stages in the planning process where such people should and need to have maximum input, and where they can be supported by other structures and executive groups.

3.16 The Headquarters review formed the view that the numbers of working groups across the organisation and their membership should be reviewed, and that their role should be clarified. The review suggested that the role of working groups should be to advise the Board, draft papers and act as centres of expertise, and that their members should be selected for their knowledge and expertise, and not as delegates representing the wider service. We endorse this view. Thought also needs to be given to the difference in roles and responsibilities between groups that are sub groups, or sub committees, of the Board, and working groups that are not. Sub groups of the Board may, for example, have delegated authority to act and take decisions, working groups would not.

3.17 The Board, whether newly constituted or not, needs to re-examine the type, constitution and role of any group to support it at key stages in the planning process, for example at times of strategic review or when priorities need to be re-examined.   The role and membership of any group needs to be more clearly defined than at present.

> **Recommendation: in developing structures to support the Board in the planning process, terms of reference are developed which clearly set out the purpose and responsibilities of any sub-committee or executive group, its relationship with the Board, and with any wider planning forums.**

3.18 Organisational structures also need to be considered and are dealt with below.

The Strategic Planning Unit and Internal Resources and Performance Branch

3.19 The Strategic Planning Unit (SPU) and Internal Resources and Performance Branch (IRPB) sit in the Finance Directorate. The SPU is responsible for:

- ☞ advising the Director, Chief Executive, and CPS Board on direction and priorities.

- ☞ managing the review, assessment and production of the draft Strategic Plan for the Board's approval, and for preparing the National Business Plan and CPS delivery plans.

- ☞ advising on performance targets.

- ☞ leading CPS input into strategic planning for the wider CJS, and the development of PSA targets, through the Criminal Justice Joint Planning Unit.

3.20 In addition, the SPU provides secretariat support to the CPS Board and its groups, and has a number of additional responsibilities, in particular, organising management conferences, liaising with the Inspectorate and advising on responses to Area Action Plans following inspection. These responsibilities have developed piecemeal over the years.

3.21 However, the SPU has no role in organising, co-ordinating or supporting the planning process, or the development of plans, across the CPS. Nor does this function currently rest anywhere else in the organisation.

3.22 Under the Headquarters review, the SPU remains sited in the Finance Directorate and the recent advertisement for the post of Head of Unit suggests that the role of the Unit will be little changed. However, further thought needs to be given to the role of the SPU.

3.23 The role of a planning unit would normally be to give support to the executive team (in this case, the CPS Board) in its strategic role and to facilitate the dialogue between the executive team and the business units through which corporate strategy must largely been implemented. While the SPU has traditionally supported the Board in its strategic role, it has not had a dialogue with the units required to deliver the strategy. Thought needs to be given to how this gap should be filled.

Arrangements for Area and Service Centre planning

3.24 IRPB is responsible for aspects of central performance management relating to Areas, including the allocation of budgets, reviewing and reporting Area performance against targets, and maintaining and developing the Corporate Information System.

3.25 IRPB liaises with the SPU over the timing of commissioning of Area and Service Centre plans. Plans are commissioned through a minute from the Head of IRPB, when the National Business Plan is, or is near to being, finalised in the SPU. The Head of IRPB issues guidance on the format and content of the Plan.

3.26 In addition to drawing up a plan which sets out objectives, and the strategies and processes to achieve them, Areas and Service Centres are required to show, in broad terms, how the centrally allocated administration costs budget will be broken down locally, and to break the budget down into a detailed profile of staff and expenditure on a month by month basis. They are also required to confirm targets for a limited range of performance indicators. Plans, with these appendices, have to be returned to IRPB by a due date.

3.27 While the appendices to Area plans are examined within IRPB to ensure targets set by Areas will not adversely affect national targets, and that profiles ensure that the budget will not be exceeded, the extent to which the planned actions of Areas and Service Centres will allow national objectives to be met, is not examined. The information supplied by Areas and Service Centres about their planned actions and strategies is not used for any purpose centrally. Equally, Area and Service Centre managers are not held accountable for delivery against their Business Plan. Issues relating to accountability for delivery are discussed at paragraphs 5.25-5.29.

3.28 Current arrangements, whereby Business Plans are requested by, and returned to, the centre but then little action is taken in the light of much of the Plans' contents, is unsatisfactory. If complete Area and Service Centre Plans are to continue to be submitted to the centre, it must be on the assumption that that their submission is serving some purpose, (other than to supply planning data, which could be supplied through other means), and that they are going to be taken notice of.

3.29 Areas have expressed concern about the lack of feedback from Headquarters on their Plans, and there is confusion among Areas about whether or not Business Plans need to be 'approved' by Headquarters. In fact, IRPB has no role in approving Business Plans, as it was agreed, following the review of the Service by Sir Iain Glidewell, that it would not be for IRPB to approve centrally the means by which Service's aims would be delivered. Its role is to agree targets set by an Area, which contribute to national targets.

3.30 Thought needs to be given to the purpose that submission of operational Business Plans from Areas and Service Centres should serve. For example, whether they should be submitted, in draft form, to inform the allocation of resources, or the final Corporate Plan; whether they should be submitted to ensure the relevance and coherence of planned activities across the organisation; or whether they should be submitted in final form as part of, for example, arrangements for accountability or monitoring. Section 7, which examines the timing of planning activity, contains an example of a different planning model from the one currently used by the CPS. The model includes the submission of draft plans at an earlier stage to inform final Corporate Plans. Paragraph 5.28 suggests that finalised plans should be used to inform the proposed performance reviews between Areas and the DPP and Chief Executive.

3.31 The current CPS Framework Document, which sets out arrangements for the management of the CPS, defines the relationship between Headquarters and Areas as one in which both work together to a common purpose, sharing experience and good practice, and seeking and taking advice. Under this collegiate approach, CPS Headquarters sets out what needs to be done whilst Areas decide how it is to be achieved. Equally, however, the Framework sets out clearly that (amongst other things) a function of CPS Headquarters is: "*to ensure the risks which come with a decentralised operation are properly managed*". Further, the main responsibilities of the Chief Executive include:

☞ Agreeing with the Director the aim and objectives of the CPS and ensuring they are delivered through appropriate policies and strategies; and

☞ Developing and introducing frameworks and procedures for the management of the CPS to support delivery of its business, in the context of a decentralised service.

3.32 Concern has been expressed that detailed scrutiny of Area plans would contradict the current arrangements for management of the CPS - that is, a decentralised management structure under which CCPs decide how objectives are to be achieved. We disagree. Examination of Area plans is a legitimate function both of the Chief Executive's responsibility to ensure that objectives are delivered through appropriate strategies and of Headquarters' responsibility to ensure that risks, which come with a decentralised operation, are properly managed. A significant risk in any decentralised operation must be that, without central oversight and support, delivery may not be achieved. How objectives are to be achieved may still be a matter for CCPs to decide, but it is the Inspectorate's experience that CCPs need guidance on whether the 'how' is appropriate and likely to deliver. Issues relating to structures necessary to support any change in practice are dealt with at paragraphs 3.44-3.46.

3.33 While this report does not advocate that plans must be scrutinised to ensure delivery, we take the view that this possibility should not be ruled out because of concern that it contradicts current management arrangements.

3.34 We consider that current arrangements for the processing of Area plans should be reviewed to determine the purpose that is to be served by their submission, whether it is appropriate for the objectives and planned actions set out within them to be examined centrally, the extent of any feedback or conversely, whether submission is necessary at all. Consideration should also be given to the role of Business Plans in performance reviews.

> **Recommendation: that the purpose of the submission of Area and Service Centre plans, their scrutiny and the use to be made of them centrally, is carefully re-examined and clarified in the light of other recommendations in this report.**

Arrangements for Directorate planning

3.35 Neither the SPU nor IRPB plays any part in commissioning, receiving, or monitoring Directorate Business Plans. Directorate Plans appear not to be commissioned specifically, but there is an expectation that each Directorate will produce a Business Plan, when strategic priorities are known, which reflects its activity for the coming year. Directorate Business Plans are generally produced, although for

2002-2003 some were late in being drawn up. They are individual documents and not produced to any format. They are not examined centrally. Any monitoring tends to take place within the individual Directorate, although the Policy Directorate is required to produce quarterly reports against progress for the Law Officers.

3.36 Consultants carrying out the Headquarters review reported a lack of understanding between operational units and Headquarters Directorates about the role played by Headquarters, and also some lack of trust. This in part arises from the CPS's 42 to one collegiate structure, which presents a management challenge in terms of ensuring efficiency and organisational control. It is clear from the Headquarters review that the organisation needs to clarify the relationship between Headquarters Directorates and its operational units. In part, difficulties in the current relationship are to be addressed by the development of the Business Development Directorate, which will have special responsibility for supporting Areas in their operational activity. However, Headquarters Directorates need to be clear about their individual roles in driving and supporting delivery, and their relationship with the Areas that have to deliver, and indeed their relationship, interdependence and synergy with each other.

3.37 These relationships have implications for the planning process. Currently planning across the organisation takes place in individual units, mainly independently from each other, albeit against a background of corporate objectives. The coherence of the organisation's planned activity is not assured, because there are no structures in place to assure it.

3.38 Some attempts have been made to try to pull together Directorate planning. For 2001-2002 a conference was held for Directorate staff to enable them to discuss their planned activity. Overlaps between them, that needed to be managed, were then identified in an Headquarters Business Plan. However, senior staff involved described this as an exercise in communication, rather than a joined-up planning exercise. It was not repeated for the 2002-2003 planning year, although we understand a similar planning day is to be held for 2003-2004. (The Headquarters Business Plan is discussed further at paragraph 5.19).

3.39 Currently, it is not clear where in the CPS responsibility sits for ensuring that planning is approached effectively and is being carried out coherently, and with the competence necessary to enable the organisation to meet its objectives. It seems that assuring good planning is not the responsibility of anyone, or any part of the organisation. This should be remedied.

Recommendation: that ownership of, and responsibility for, the integrity, coherence and efficacy of planning throughout the CPS is determined, and supported by relevant structures.
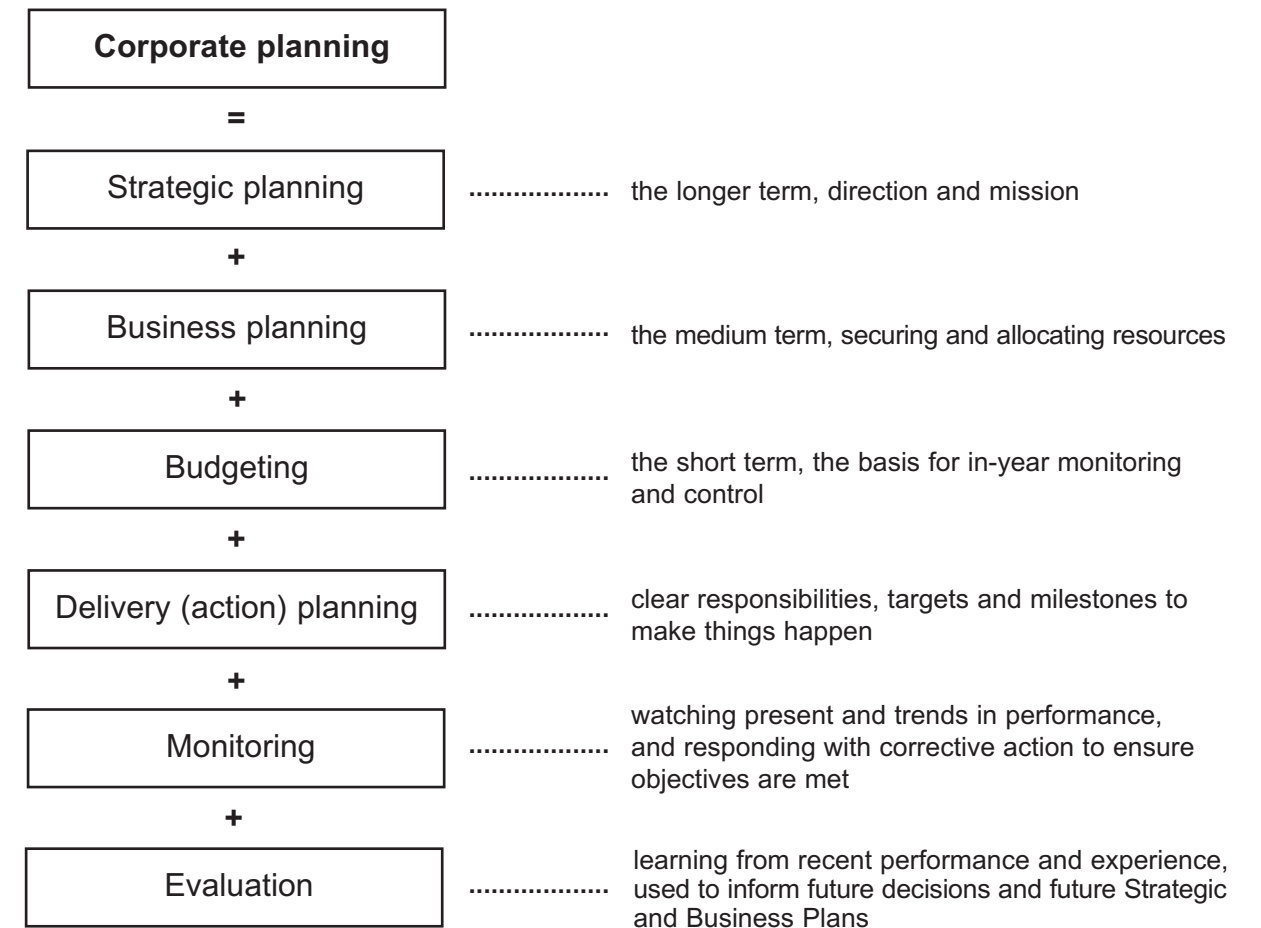
The Business Development Directorate

3.40 The Directorate's role, as presently described to us, will be to support the Areas and Service Centres (but not Directorates) in delivery, and it will also have a role in monitoring delivery.

3.41 From information provided during the course of this thematic review, it was not clear whether the Business Development Directorate (BDD) will have any role in relation to planning processes and practice across the organisation.

3.42 Paragraph 2.13 refers to the need for the organisation to determine what purposes it wants planning to serve and suggests that this will go some way to determining the structures and planning processes that need to be in place.

3.43 The CPS's current planning unit has only a strategic focus, and no planning responsibilities across the organisation. It also has various other responsibilities set out in paragraph 3.20. Some senior staff took the view that the unit's other responsibilities prevented it from functioning fully and efficiently as a planning unit, and meant that it was unable to take on a broader planning role.

3.44 The CPS needs to review structures in place for planning and the role of its planning unit. Whether or not the organisation considers that a unit with wider responsibilities is needed will depend on the approach it takes to a number of issues raised in this report, in particular, the dialogue needed between any planning unit and operational units, and the medium for that dialogue (paragraph 3.23), the links to be made between planned activity and resources (Section 6), and the extent to which operational capability and capacity should influence national planning (Section 7).

3.45 During the course of this review it was suggested that the SPU should not remain sited in the Finance Directorate, but should be sited either in the Policy Directorate, which, following the Headquarters review, will focus more on shaping and influencing CPS and CJS thinking, or be sited within the Chief Executive's domain, with direct links to the DPP and Chief Executive, who are charged with the direction and leadership of the service and are accountable for its efficient and effective performance.

3.46 Whatever its role, it would seem appropriate for the unit to lose its wider responsibilities which, it is reported, currently distract the unit's attention from focusing fully on planning, or be properly staffed to accommodate them.

Recommendation: that the role and responsibilities of the SPU are reviewed, and its relationship with operational units and the BDD is determined.

4.   Aspects of the Business Planning Processes

4.1   This section examines the use of processes within organisation to determine priorities.

4.2   Business planning is part of a corporate process that has a number of elements, as set out below:

Corporate planning	
=	
Strategic planning	·········· the longer term, direction and mission
+	
Business planning	·········· the medium term, securing and allocating resources
+	
Budgeting	·········· the short term, the basis for in-year monitoring and control
+	
Delivery (action) planning	·········· clear responsibilities, targets and milestones to make things happen
+	
Monitoring	·········· watching present and trends in performance, and responding with corrective action to ensure objectives are met
+	
Evaluation	·········· learning from recent performance and experience, used to inform future decisions and future Strategic and Business Plans

Figure 1: Corporate planning - a definition [4]

4.3   Strategic planning is defined as looking at the longer term, the direction of the organisation and its mission. We have indicated throughout this report that clearer direction is now being set for the service, assisted by a much sharper government focus. Within any organisation, however, good strategic planning depends, amongst other things, on two key factors: analysis and appraisal. Analysis must be both external and internal.

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[4]   Adaptation of definition of corporate planning used by the (formerly named) Civil Service College from *Strategic Management and Planning in the Public Sector, R J Smith*

4.4 External analysis for the CPS means an analysis of the political environment, in particular, the identification of possible future changes in focus and emphasis, as well as analysis of developments in other agencies, social changes, likely changes in the volume and nature of the demand, resourcing issues, and technical analysis.

4.5 The CPS is looking to improve its external antennae. It has, in its own strategic reviews, recognised the need to look to the future and anticipate for example, new methods of crime and their prosecution. HMCPSI's inspection of the Policy Directorate indicated the need for that Directorate to have a changed role, and for it to make a greater contribution to solving problems, thus assisting the development of future strategy, for both the CPS, and across the CJS. This view was endorsed by the Headquarters review and will be addressed through the creation of a Business Development Directorate to which responsibility for the development and roll out of initiatives will pass.

4.6 The emphasis in internal analysis should be on identifying where performance is strong or weak, examining performance against the expectations of stakeholders, and relative to that of other organisations, as well as examining matters relating to internal structure, culture and values, and capabilities.

4.7 The CPS has mainly used group-work based planning workshops as the basis for its external and internal analysis for example, the Planning and Risk Sub Group, and groups at annual senior management conferences, informed by senior management's knowledge of CJS activity.

4.8 As part of its internal analysis, an organisational audit was conducted in 2001 prior to work beginning on the strategic review for SR2002.

4.9 Overall, however, both internal and external analysis has been weakened by the absence of complete and pertinent performance information, to enable a systematic review of performance. Planning is a continuous, iterative process, a vital part of which is monitoring and review. The key areas of performance are in the process of being identified and the organisation should ensure that a formal review of current performance is built into the future planning process.

4.10 MAS, in its review of Corporate Governance 2000, identified that an effective planning process must be a robust and complete mechanism, capable not only of identifying priorities and risks, but also of mapping out a strategic plan of action. They were of the view then that there was a need for consistent use of a robust and recognised strategic planning method and recommended that a strategic planning approach, incorporating particularly scenario planning, should be identified and consistently applied. This recommendation has not been acted on. Their subsequent review in 2002, found that while the strategic planning process had been broadened (through CCP, ABM and Board sub-group involvement in planning workshops, and at the autumn Senior Management Conference) no overall template or defined process for planning activities was in place.

4.11 The development of delivery plans (paragraph 5.3) should mean that, in effect, a strategic plan of action is developed. However, the view of those interviewed as part of this review is that strategic and business analysis needs to be more comprehensive. Paragraph 3.13 refers to the fact that neither past performance, nor resources, were normally fully considered in the analyses of priorities by those advising the Board.

4.12 The adoption of a defined planning process would help to determine the structures (for example the executive groups, their membership, and roles and responsibilities) needed to undertake analysis, would assist with issues of timing (Section 7) and may provide for a more sharply focused review of the environment.

4.13 Certain techniques can be used for analysis. In 2000 the CPS appeared to embrace the Business Excellence Model (formerly referred to as EFQM) as a tool to be used across the organisation to analyse where performance was strong or needed improvement. The Strategic Plan for 2001-2004 indicated that achievement of the organisation's goal relating to its strategic theme of performance, "*to create an organisation which constantly improves its performance and thus its contribution to the criminal justice system and the communities it serves*" would be measured by "*Comparable performance measured by EFQM, March 2002 and March 2004*". The Planning and Risk Sub Group of the Board was asked to advise the Board on the incorporation of EFQM principles in the planning process. Considerable resources have also been spent on training staff across the organisation on use of the model.

4.14 Despite the above, senior staff appear to have a continuing ambivalence about the use of the Excellence Model and it has not been wholeheartedly supported within the organisation. Use of the Model, and interest in it, was generated by MAS. But structures are not generally in place centrally to maintain the momentum of, or support, the business improvement processes that MAS identifies. Although there has been some use of the Excellence Model at corporate level, it has not been used recently and the Planning and Risk Sub Group did not complete the task of advising the Board on the incorporation of Excellence Model principles into the planning process. Mixed messages have been picked up by business units about whether they should be seeking to use the Model, and it is not yet used in the majority. Some business units, who have embraced the Model, have expressed concern about the lack of enthusiasm centrally, and the fact that it was not apparently permissible for their business plans to follow a Business Excellence structure. Section 2 (paragraph 2.13) indicates that the CPS should make clear its expectations for the organisation's approach to planning. As part of that process, the organisation's view of, and approach to, the Excellence Model should be clarified.

4.15 Risk is currently being integrated in the business planning process. At national level the organisation risk profile has been developed, but its effective incorporation into the business planning process has yet to be seen. At business unit level some Areas are struggling to know how to incorporate risk. The figure below shows how risk analysis should be incorporated into the planning process:
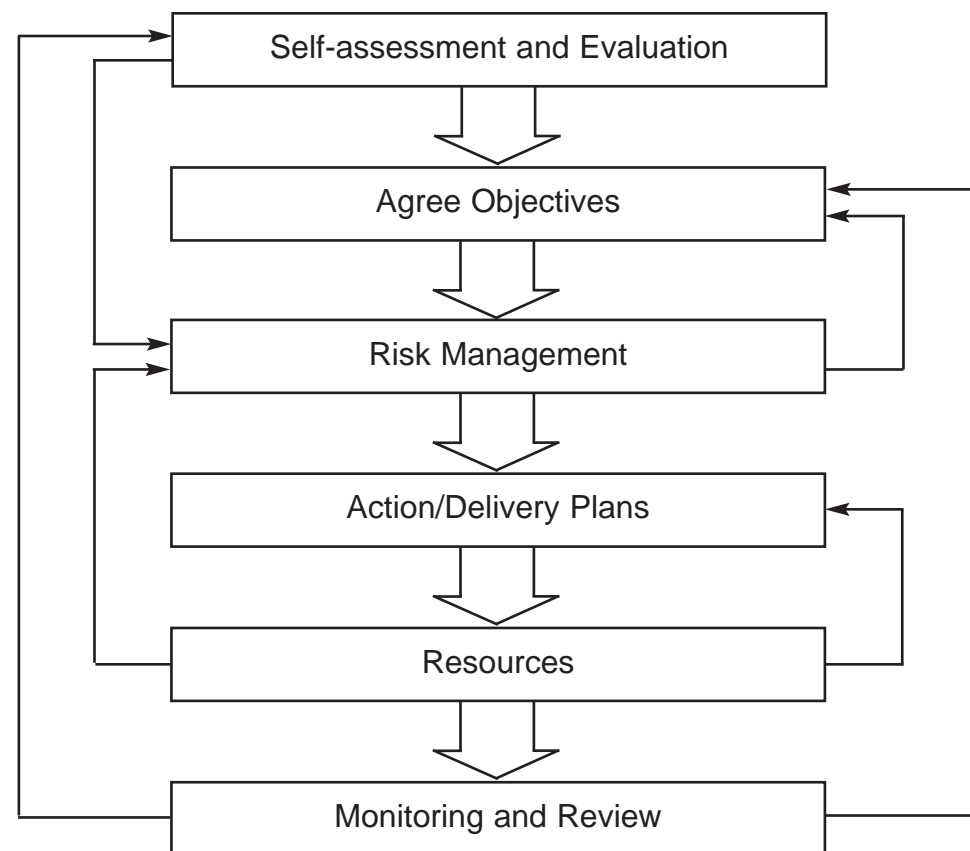
Figure 2: Flow chart showing stages of the planning process and the incorporation of risk

4.16 At business unit level processes for planning are not well defined, and the use of any formal analysis and group work to inform thinking is relatively rare. As nationally, good planning in business units is hindered by the absence of culture of systematic monitoring and evaluation to inform thinking.

4.17 HMCPSI's Planning Guidance for Areas and Service Centres, produced as part of this thematic review, provides guidance on how to approach the planning process and includes details of self-assessment methods.

5. Planning Documents

5.1 While good business planning is not about producing glossy documents, the creation of plan that can be used as an aid to management is vital.

5.2 A good business plan should be capable of being used as the basis for a periodic review of performance against objectives and targets, for decisions on actions needed to manage work and activities to meet those objectives and targets, for identifying and managing risks, re-allocating resources, and reporting problems and proposing solutions.

5.3 At the time of writing it was the intention, for 2003-2006, to have in place:

✔ A Strategic Plan for three years, covering delivery of PSA targets and enabling activity. This document would be published.

✔ A National Business Plan for one year, covering delivery of PSA targets and enabling activity in greater detail for that year. This document would be published.

✔ Delivery plans covering one year. It is intended that these should be detailed operational management plans developed to support CJS delivery plans. Support is to be sought from the Prime Minister's Delivery Unit for development of the plans and arrangements for monitoring progress. Delivery plans would be internal documents.

✔ Business unit plans:

☞ Area Business Plans, currently covering one year. Area Plans set out the processes through which CPS priorities will be delivered; the risks to delivery of the priorities, and the action planned to manage those risks. Area Business Plans may or may not be published and may or may not be supported by unit plans or action plans. Area Business Plans will this year need to be informed by local CJS plans for Narrowing the Justice Gap and Improving Public Confidence.

☞ Service Centre Business Plans covering one year. Requirements for 2002-2003 were the same as for Area Business Plans, changes in line management responsibility may mean changes for Service Centre planning in the future.

☞ Directorate Business Plans covering one year. Directorate Plans have no particular format, and are for internal use only; they are not published.

☞ Headquarters Plan. The Headquarters Plan consists of the top priorities of the Headquarters Directorates, and covers one year. An internal document only which is not published. The Plan was not produced for 2002-2003, because of the Headquarters' Review. At the time of writing this report we understand that a Plan is to be produced for 2003-2004.

5.4 We welcome the move towards the development of delivery plans, but this, together with the development of local CJS plans will have implications for the planning process, throughout the organisation.

CPS Corporate Strategic and Business Plans

5.5 In developing its Strategic Plan for 2001-2004, the CPS developed five strategic themes - performance, partnerships, public confidence and staff pride, people and professionalism - established goals for each, and set out a supporting programme beneath them (**Annex 4**). The annual National Business Plans set out aims, objectives and performance targets, which derive from the Public Service Agreement (PSA) for the CPS, which in turn derived from the PSA for the criminal justice system. The five strategic themes (known internally as the 5 Ps) have also been used as a basis for Area and some Directorate planning. Areas and Service Centres were asked, in guidance issued to them by IRPB for 2002-2003, to set out the processes, risks to delivery and actions to manage risks, necessary to deliver priorities under the five themes.

5.6 MAS, in its reviews of governance, took the view that plans were over dependent on the five strategic themes, which detracted from the need for quantifiable objectives, and made links with strategic objectives difficult at corporate and business unit level. Generally, across the organisation, the development of measurable objectives is absent as part of the planning process, and measurable objectives are not contained in Business Plans.

5.7 MAS has commented on improvements which need to be made to the Strategic Plan, in particular through:

☞ better articulation of the strategic vision;

☞ the inclusion of SMART aspirations; [5]

☞ the provision of reliable measures;

☞ the inclusion of milestones which monitor progress.

5.8 They took the view that similar improvements needed to be made to the National Business Plan. We endorse these views. The CPS Business Plan has been very much a 'public plan' rather than a plan designed as a basis for 'managing the business'. This gap will in part be addressed by the development of national CPS delivery plans.

5.9 Staff within Areas and Headquarters commented on what appears to be the large number of plans, priorities, objectives and targets, and the confusion that causes them in planning. A decision has recently been taken to formulate Strategic and Business Plans across the organisation against the PSA targets. This should give all those involved in the planning process a clearer focus on key priorities, and enable CJS and CPS priorities at national and local level to be clearly and directly aligned.
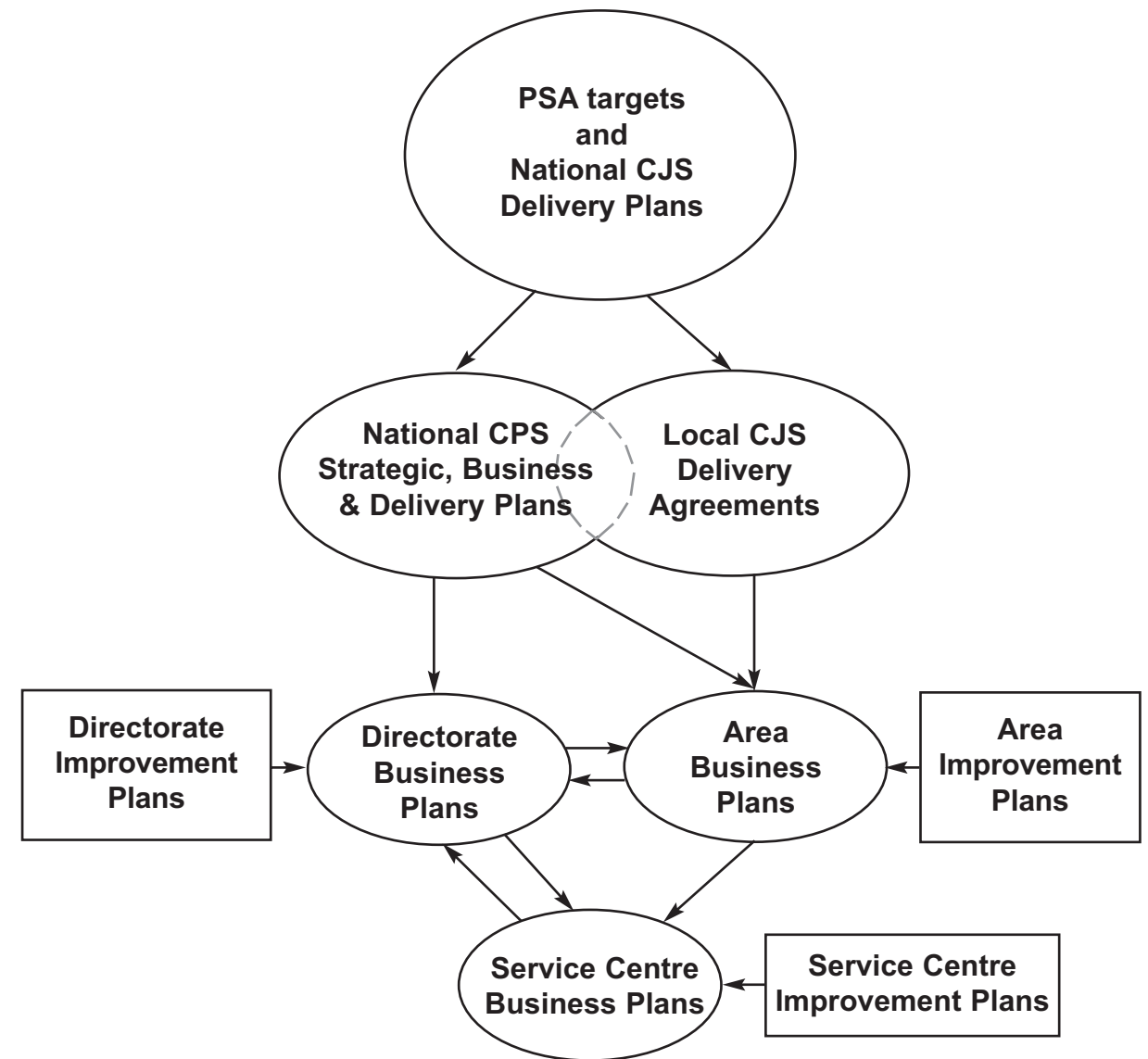
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[5] Objectives should be **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime bound. Examples of SMART objectives are given in HMCPSI's Planning Guidance for Areas and Service Centres

Figure 3: Showing the major sources for plans across the CPS

Area and Service Centre plans

5.10 Area and Service Centre plans currently cover one year. However, Area planning activity will now of necessity be heavily influenced by longer term PSA targets, which focus on outcomes over a longer period, and local CJS planning activity to meet those targets, in particular local delivery agreements which are currently for one year. Eventually, however, targets may be set on a milestone, rather than annual, basis. Local CJS performance will be regularly and closely monitored.

5.11 The CPS has already flagged the need for Areas, when they plan, to have an eye on the longer term, but thought needs to be given to whether this advice is sufficient or whether Areas should be formally planning for a longer period. Longer term planning would of necessity be supported by shorter-term delivery plans for key objectives that could vary in length depending on circumstances locally, although for budgetary purposes, an annual delivery plan is likely to be the most appropriate.

5.12 The CPS now needs to take a firm view on how to proceed. MAS made a recommendation in its governance report of 2002 (**Annex 1**), that Areas should produce longer-term plans, but this recommendation has not been acted on. A longer horizon for unit business planning, of up to three years, would mean that units would be able to align their planned activities with the programme of initiatives in Strategic Plans, which may be a particular advantage for larger Areas facing the need for major change and improved performance. Such an approach may also help turn the attention of senior staff to the need to make significant changes. The Business Plan would need to be supported by shorter-term delivery plans, mirroring the arrangements at national level.

5.13 Such an approach may solve some significant problems that Areas currently have with business planning. The current approach has been to produce almost a mini strategic plan within each Area, but for one year only, that sets out vision and values, and very much mirrors the national plan. As with the national plan, the format has not helped with 'managing the business', and planning has become, in some Areas, almost irrelevant to day to day activity. Areas may find it easier to plan for improvement over a longer period, with action plans for key priorities, the timescale for which may usefully be able to synchronise with local CJS delivery agreements. This approach could have considerable benefits in helping to deliver required improvements in performance and service.

> **Recommendation: that the CPS consider whether the business planning period for Areas should be extended for a period of up to three years, properly supported by shorter term action, delivery or project plans for key objectives, to better assist the delivery of strategic objectives.**

5.14 Service Centres were required to produce business plans for the first time for 2002-2003. The guidance given to Service Centres was that given to Areas, much of which was not relevant to them. Responsibility for the line management of Service Centres is passing to the Human Resources Directorate. Further thought should be given to the planning needs of these units.

5.15 Annex 2 to this report sets out the key findings in respect of the quality of Area and Service Centre plans as working documents - generally they were not good. In part this seems to be because of confusion about their purpose and a lack of understanding about their potential for use as a management tool. Measurable objectives were largely lacking from Area and Service Centre plans, which were, as set out above, heavily influenced by the nature of corporate strategic and business plans.

5.16 Paragraph 2.13 refers to the need for a corporate understanding of the purposes of planning to be developed, along with clear expectations about processes and plans.

Directorate plans

5.17 Directorate plans are of varying quality. The approach to them and the quality of the planning process that they represent seems to be dependent on the level of interest and understanding of those who are responsible for the task. They follow no particular pattern, some aligning their activities to the strategic themes, others to objectives. It is fair to say that some Directorates struggle with the concept of planning. Equally, some are good. The Business Information Systems Directorate (BIS) Plan reflects an approach to planning of a high standard. For 2002-2003 the Directorate has carefully considered the relevance of strategic themes to its work, and how its work is relevant to the strategic themes. The Plan sets out desired outcomes, time bound objectives and measures for success. Objectives and measures to counter the three highest risks to desired CPS outcomes are incorporated in the Business Plan. Clear indications are given of how progress is to be measured throughout the year.

5.18 Paragraph 3.33 refers to the need for the relationship between Headquarters Directorates, and between Headquarters Directorates and Areas to be clarified, which would enable the planning relationship and links to also be clarified. Directorate planning could be substantially improved by an improved timetable (Section 7), which allowed for the proper intermeshing of linked activity between Directorates. Thought also needs to be given to the extent to which the planning of some Headquarters Directorates, that are essentially service Directorates, should be influenced by the operational needs of the units they serve.

5.19 The previously produced Headquarters Plan drew together priorities from each of the Directorates to form a single plan. The purpose of the plan appears to have been to provide an overview of key central activity to inform Areas. It did not, however, represent the outcome of a coherent planning process. Although the 2001-2002 Plan indicated overlaps between the Directorates that needed to be managed, we were told that in fact little came of this. Overall, the purpose served by, and relevance of, the Headquarters Business Plan is unclear. It was not produced for 2002-2003, because of the Headquarters review and seems not to have been missed, either among Areas or centrally.

> **Recommendation: that the Headquarters Business Plan is no longer produced.**

Monitoring and review

5.20 Currently the Strategic Plan is reviewed annually when the National Business Plan is being developed. It has not been the practice for progress against the Business Plan to be reviewed regularly, although performance against targets has been reviewed quarterly, although not by the CPS Board. This approach is now changing (paragraph 3.6).

5.21 The CPS has accepted that it has not been good at monitoring progress against the Strategic Plan. MAS reported that although planned initiatives were underway there was no clear understanding of how far these represent successful implementation of the strategy and plans.

5.22 It is for the Service to determine how it should monitor progress against achievement in its Strategic and Business Plans, but formal monitoring there should be in accordance with the principles of good governance.

5.23 Analysis by outside consultants during the Headquarters review indicated the need to 'manage the implementation of plans realistically and to re-prioritise activity'. The development of an internal delivery plan provides the opportunity to review arrangements for the monitoring and review of plans and the achievement of priorities and objectives. Arrangements for review should be clearly stated in the plans and contained in the Terms of Reference for the work of the Board. A recommendation is made at paragraph 3.8.

5.24 The failure to monitor and review plans had been a key finding in the first cycle of Area inspections carried out by the Inspectorate. Questionnaire returns, however, indicate a vast improvement in monitoring arrangements at Area level, if answers are matched in fact (**Annex 2**).

Internal accountability

5.25 Currently, senior staff are, in the main, not held accountable for delivery against objectives in their Business Plans. To a certain extent this will change with the development of local CJS plans, performance against which agencies jointly have to account for, on a regular basis. Internally, however, there are no systems for accountability for performance or delivery against a unit Business Plan.

5.26 The starting point for accountability must be clarity about what people are expected to achieve, about the outputs and outcomes required. Expected achievements, outputs and outcomes have not always been well articulated in the CPS, at any level.

5.27 Improvements in the planning process suggested by this Review and some already underway, should serve to ensure that expectations for performance are clearly stated. It is important to decide, in the case of unit managers, on the boundary at which accountability ends and where managers have the freedom to decide what is done (within the boundaries of legality, financial authority, and organisational values). Therefore, when objectives are developed during the planning process, a decision should be made as to which of these objectives should form the basis for accountability to the DPP and Chief Executive.

5.28 During the course of this Review, senior managers recognised that they were not held accountable, and agreed that they should be. At the time of writing this report, the Chief Executive was consulting the Service about the introduction of regular performance meetings with CCPs concentrating on the contribution each Area is making to the delivery of PSA targets. A pilot scheme was being developed. Area Business Plans for 2003-2004 should make clear the Area's local performance targets in relation to the PSA targets and the action being taken to meet them. Area Business Plans should be drafted in such a way that they are capable of being used as a basis for discussion between a CCP, and the DPP and Chief Executive, as set out in paragraph 5.2 above.

5.29 Currently proposals for the performance review are limited to Areas. However, performance reviews should also be carried out, using Business Plans as the basis for discussion, with Directorates in the same way. Without good systems for accountability, units are, in effect, planning in a vacuum and planning may lack a sense of purpose.

> **Recommendation: that -**
>
> ☞ **Clear expectations are set for the quality and use to be made of planning documents across the organisation.**
>
> ☞ **Business Plans are used as the basis for discussion at performance reviews between CCPs, the DPP and Chief Executive, and that the performance review scheme is extended to include reviews of Directorate performance against planned objectives, targets and actions.**

6. Links between Planning and the Allocation of Resources

6.1 In each of its reports on governance, MAS has commented that Business Plans are prepared after resources are allocated, and that the planning process does not, therefore, inform the need for, and allocation of, resources. There is, therefore, no correlation between Business Plans and the costs and resources required to deliver them. In its Review of Corporate Governance in 2000 (**Annex 1**), MAS made a recommendation that the timing of Business Plan preparation should be brought forward to precede the allocation of resources, and that Business Plans should indicate how resources will be used. These recommendations have not been acted upon.

6.2 To inform the need for, and allocation of, resources would normally be one of the key purposes of the planning process in any organisation. Paragraph 2.8 of this report explains that one of the purposes of planning is to make sure an organisation allocates money, people, time and energy on the outcomes it is looking for, and avoids the outcomes it does not want. Some senior staff within the organisation have commented adversely on the absence of a link between planning and resources.

6.3 At a strategic level, the need to make the link between planning and resources is inescapable. As part of spending review (SR) activity, the organisation is required to submit medium-term objectives, following a programme of evaluation and evidence, which inform the SR settlement and key elements of strategy are costed for PSA development and in response to spending review changes. Finance and Accounts Branch also prepares an analysis of resources for the PSA. But at business level, no such link is made or contained in published plans.

6.4 This thematic report, and the outcomes of the most recent work by MAS, give the CPS the opportunity to carry out a fundamental review of its arrangements for strategic and business planning. As part of that fundamental review the CPS should consider whether it wishes to use business planning to inform the need for, and allocation of, resources.

6.5 The approach that the CPS adopts to this issue will affect other aspects of its arrangements for planning, in particular, on structures for corporate planning, arrangements for business unit planning, and the timing of internal activity. The CPS must therefore make a decision on the link it wishes to see between business planning and the allocation of resources, in order to determine other arrangements properly.

6.6 Further, the Inspectorate is of the view that, within business units it is good planning practice for business unit managers to have a good understanding of their resources, activities, and costs, and the links between all three, to enable them to match resources to activities. The HMCPSI Planning Guidance for Areas and Service Centres makes clear that such links should be made.

Recommendation: that the CPS formally considers whether business planning should inform the need for, and allocation of resources, across the organisation.

7.1 Feedback from Areas, Service Centres, and Directorates during the course of this review, indicated that a major obstacle to effective planning in the CPS is the issue of timing.

7.2 Details of the CPS planning cycle and current timetable are reproduced at **Annex 3**. Staff in business units and Directorates reported two concerns; first, that the planning timetable was not adhered to and, secondly, that planning activity that they were expected to engage in was commissioned too late.

7.3 There are two aspects to timing: the timing of the overall planning cycle governed by spending review activity, and the timing of other planning activity lower down within the Department, for example the setting of targets, and the drafting and finalisation of plans.

7.4 The spending review cycle is governed by the Treasury and all Government Departments are tied in to it. The organisation began work on a strategic review in readiness for SR2002 quite properly in 2001, the pre SR2002 year. However, Headquarters staff reported that, eventually, bids had to be prepared within quite short deadlines and before strategy had been finalised.

7.5 The timetable for the spending review cycle should run in parallel with planning activity within the Department. Links between the two (a read across) lie in regular strategic reviews, and in rigorous performance management that will inform both the next SR cycle and internal business planning, and should be maintained through the corporate structures in place to address the planning process. Arising out of SR2002, the Treasury has made it clear that effective bids need to be evidence based. Strategic reviews, and performance monitoring and evaluation, will need to capture the evidence which will support the bids to deliver future plans.

7.6 At a strategic level, there is no doubt that there are difficulties across the CJS in synchronising planning timetables. It is the intention in future that CJS plans should drive Departmental and Agency plans, but this has yet to happen; at the time of writing the CJS Strategic Plan, and Business Plan for the forthcoming year, have not been finalised. Work is underway to resolve these timing issues. However, the new, focused PSA targets, and the development of delivery plans with milestone targets, is driving agency planning at all levels. The longer-term effect of this new aspect of CJS planning on agency planning is largely unknown.

7.7 Lower down within the organisation, processes appear to have got out of sync. For example, for 2002-2003 Areas and Service Centres were asked to produce plans with only limited knowledge of the Corporate Business Plan which was not finalised until May and published in July (although the Service's priorities

were made known in November). Training on risk, the identification and management of which was to be included in finalised plans by the middle of March 2002, was only delivered to business units in February 2002. Guidance on planning for the forthcoming financial year is only issued to business units in February, with a request that final plans be submitted by the middle of March. As at January 2003, national performance targets for 2003-2004 had not been finalised, to inform the finalisation of business unit plans.

7.8 In order to allow units to begin planning earlier, clearer priorities will now be set at the autumn Senior Management Conference, by and for the organisation, which will provide guidance to managers to enable them to begin planning for the coming year. While we welcome the recognition that priorities need to be clear earlier, so that units can begin drafting plans without waiting for the corporate plan to be finalised, the overall approach has a some adverse consequences:

☞ It reinforces a 'once a year' approach to planning and links the planning process closely with the production of a Business Plan, rather than encouraging planning to be seen as a continuous activity which enables effective management and delivery.

☞ As a result, the majority of planning activity still starts too late and is finalised in too short a time.

☞ The process does not allow time for the coherence of the organisation's planned activity to be examined.

☞ All the organisation's Business Plans are prepared simultaneously, and with no subsequent corporate overview. This assumes that business planning within the various business units is not inter related, which is not so.

7.9 Areas have complained that in recent years operational units have had too little input into informing the organisation's strategy. Attempts have been made to address this criticism by adopting a new approach to Senior Management Conferences, referred to above, but there is still room for further debate about the extent to which operational units and their capacity and capability to deliver should influence the planning decisions of the organisation. This element is currently missing from the process, and the ability to incorporate it into the planning processes of the CPS is hindered by its planning timetable.

7.10 It is important that the organisation's strategies and plans are owned and understood by those charged with delivering them. This means building up strategies and plans from the 'bottom' of the organisation as well as developing plans from the 'top' - the 'top down, bottom up approach'. We recognise that better attempts were made in 2002 to harness 'bottom up' thinking.

7.11 A different approach to business planning from that currently used by the CPS, is shown in Figure 4, below. In this model, which is one used in the private sector and given as an example for use in the public sector, priorities are set earlier in the year, allowing business units time to produce draft plans which in turn inform the final plans for the organisation. The process allows the coherence of plans throughout the organisation (for example, between those of operational units and service Directorates) to be examined and assured, and also allows planned activity to inform budgeting, should the organisation choose eventually to move in that direction. [6] Further discussion about the links between planning and resources is contained in Section 6.
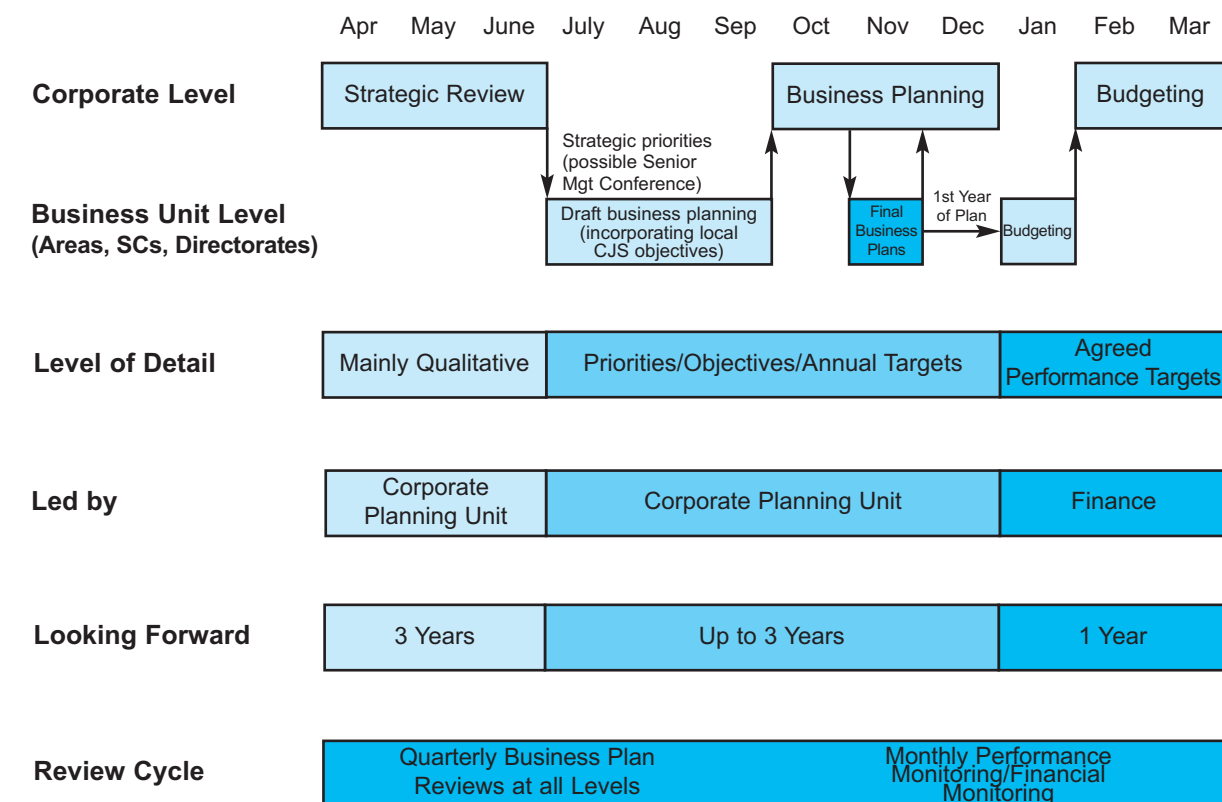
Figure 4: An example of an alternative planning timetable and planning arrangements

7.12 In a pre SR year the annual strategic review should enable the organisation to submit medium term objectives by October.

7.13 There are three stages to the annual timetable:

☞ A review of strategic direction from April to June

☞ Business planning from July to December

☞ Budgeting from January to March [7]

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[6] We recognise that the present approach is to determine Area funding top-down on the basis of an Activity Based Costing system

[7] Further information on the model and how it might be applied can be found in *Your delivery strategy; a guide to planning and risk*; HM Treasury and Cabinet Office

7.14 The priorities arising from the strategic review should provide the context for business planning throughout the organisation. This is the approach currently used by the CPS to a certain extent, and the Senior Management Conference is the medium through which the context is communicated. Currently, however, priorities are not communicated until October. This fact, coupled with late guidance (paragraph 7.7), means that the formal planning process commences much later in the year, particularly for business units. This late start has knock-on consequences for other important planning activity, in particular the agreement and confirmation of targets, and the drafting of plans. It also makes it virtually impossible for any link to be made between planning and the allocation of resources needed to deliver them. The timetable in Figure 2 makes it possible to link planned activity with resources, and would enable planning to inform budget allocation traditionally made by the CPS Board in December.

7.15 Paragraph 5.12 refers to the possibility that unit plans could cover a longer period than a year. This model allows for the first year of the Business Plan - essentially the delivery plan for that year - to be used as a basis for budgeting.

7.16 Such a model has particular implications for the CPS. It would require a more proactive approach to planning at the corporate centre to enable corporate delivery plans to be informed by unit plans, and to enable strategies and their implementation to be reviewed centrally for consistency. Currently the CPS has no structure for this. It would also place a greater emphasis on skilled planning at unit level.

7.17 The application of the model may also be affected by the timing of CJS planning nationally and locally. For the 2003-2004 planning year, local Criminal Justice Boards where required to draw up their Narrowing the Justice Gap plans and provide them to the Home Office by the end of January. The timing of future CJS planning is uncertain, but CCPs, as members of the Local Criminal Justice Boards, will have a key responsibility for planning at the local criminal justice level also, and should therefore be aware of local trends in CJS performance, and likely future activity and central requirements. However, the effect that more rigorous CJS planning both nationally and locally will have on the planning of individual agencies is to a large extent unknown.

7.18 Whatever final planning model is adopted by the CPS, attention needs to be given to a number of issues relating to timing.

7.19 A clear timetable for planning activity throughout the organisation, that is for planning at corporate and at unit level, needs to be established, promulgated and adhered to. The timetable should ensure that business planning activity starts earlier in the year, that priorities, objectives and annual targets are established much earlier than at present, and that the Corporate Business Plan is finalised by the end of December.

> **Recommendation: that the timetable for planning activity throughout the organisation is revised to ensure that business planning activity starts earlier in the year, that priorities, objectives and annual targets are established earlier than at present, and that the Corporate Business Plan is finalised by the end of December.**

Recommendations made by Management Audit Services in their Reviews of Corporate Governance Arrangements in the CPS

Recommendations made in Review of Corporate Governance arrangements: October 2000

Recommendation	Implemented	Not implemented
☞ Future Annual Business Plans are clearly overlaid with a three year Strategic Plan, which clearly sets out actions and outcomes necessary to achieve departmental objectives and priorities	✓	
☞ The SPU identifies and consistently applies a complete strategic planning approach (e.g. scenario planning)		✗
☞ The business planning approach follows the system described in the Framework Document		✗
☞ The timing of Business Plan preparation is brought forward to precede the allocation of resources and Business Plans indicate how financial resources will be used		✗

Recommendations made in Review of Governance of CPS business units: October 2001

Recommendation	Implemented	Not implemented
☞ All accountable business units are required to develop three year Strategic Plans in parallel with and informed by the Departmental Strategic Plan		✗
☞ Service Centres are required to prepare full Business Plans	✓	
☞ The required format and content of (Area) plans is amended to include:		
✓ a forecast of personnel requirements	✓	
✓ key local initiatives and actions	Implemented in some cases	
✓ all significant business development activities	Implemented in some cases	
✓ prioritisation of all planned activities		✗
✓ targets milestones and success criteria		✗
✓ costings for all activities and an indication of how resources will be used to achieve objectives and targets		✗
✓ ownership for the actions		✗

Recommendation	Implemented	Not implemented
☞ Training is provided in business planning and the application of techniques to help identify the activities to be included in Business Plans (EFQM and risk management)	Training Provided in EFQM and Risk	
☞ Links to CJS strategy and those of key local partners are established	✓	
☞ For Service Centres, links to customer Area Business Plans are established		✗
☞ Business units review progress, and the continuing relevance of their Plans quarterly	Implemented in some cases	
☞ The SPU role in reviewing Area Business Plans is revisited in the light of the Headquarters review		✗

Key Findings in respect of Area and Service Centre Planning for 2002-2003 from Examination of Plans and Responses to Questionnaires

1. **Beginning the planning process for 2002-2003**

   Areas

   9.5% started planning in April 2001;
   19% started planning at various stages throughout 2001;
   71.5% started planning in January/February/March 2002.

   Service Centres

   100% started planning in January/February/March 2002.

2. **Use of Excellence Model as an analysis tool to inform planning**

   40% of Areas and Service Centres used the Excellence Model.

3. **Training of managers in business planning**

   Areas

   36% of managers stated they had received no training in business planning.

   Service Centres

   60% of managers stated they had received no training in business planning.

4. **Obstacles to effective planning**

   Areas

   Perceived obstacles to effective planning fell into three main areas:

   a. *Timing*: the timing of guidance issued to Areas (guidance issued in January and February with a return date for plans of 11 March); the absence of a National Business Plan at that time to inform Area Plans; more realistic deadline needed to ensure staff engaged in the process. Disjointed planning timescales across the CJS. Areas not encouraged to plan far enough ahead.

   b. *Resources*: the Plan has to be formulated in advance of budget information; an absence of funding to take planned activities forward; lack of resources to devote to planning; funding arrangements throughout the year.

   c. *Issues surrounding the drafting of the plan itself*: prescriptive format of the Plan; belief that a Plan other than prescribed format would not be accepted by Headquarters; Plans not approved centrally. Inclusion of risk made Plan difficult to understand.

d. Service Centres were required to draw up Business Plans for the first time for 2002-2003. They reported insufficient time to carry out the task, and that it was difficult for them to produce their own Plans without sight of Area Plans; the format of the Plan required, which was the same as that required of Areas, was not appropriate to Service Centres.

5. **Areas and Service Centres were asked to give an opinion about whether or not they planned effectively**

76% of Areas considered that they planned effectively;
70% of Service Centres considered they planned effectively.

6. **Inspectorate assessment of Area Plans as effective working documents indicating planned actions, responsibilities and timescales for action, and treatment of risk**

In carrying out its examination of Area Business Plans, the inspectorate also examined supporting plans supplied by the Area, for example action plans, unit plans and training plans.

The Inspectorate found:

9.5% of plans to be good working documents and 62% to be weak or poor.

Those plans deemed to be good had well defined and meaningful processes in place to deliver objectives relating to the five strategic themes around which last year's plans were based. They were well supported by action plans indicating timescales for action, responsibilities and arrangements for review, and links between supporting plans and the Business Plan were clear. Key risks and countermeasures were identified.

Those that were deemed to be weak or poor contained only very broad-brush statements of intent, and were unsupported by more detailed action planning.

We also found that:

69% of plans gave no indication of responsibilities for action and timescales for the achievement of objectives; and
86% of plans gave no indication of arrangements for review and had not apparently been reviewed.

However:

40% of Areas said that the business plan was reviewed monthly;
55% said that the plan was reviewed quarterly; and
5% said that it was reviewed twice a year.

CPS Planning Table - Spending Review and Planning Cycle

The CPS spending review and planning cycle runs in parallel to that of the CJS. The CPS is involved in the CJS spending review and development of CJS plans.

There is continual dialogue with the Trilateral Planning Unit and colleagues in the Home Office and Lord Chancellor's Department throughout the spending review and planning cycle.

In return for the spending review settlement Ministers undertake to deliver targets in a Public Service Agreement (PSA). The CPS's PSA targets are shared with the Home Office and Lord Chancellor's Department - they are CJS wide targets.

Each CJS wide PSA target has a delivery plan setting out how the target will be delivered. Delivery plans contain trajectories and milestones and are monitored by the Prime Minister's Delivery Unit at quarterly intervals. They are subject to constant refinement throughout the spending review period.

The Attorney, together with the Home Secretary and Lord Chancellor, attends quarterly stock take meetings with the Prime Minister to assess progress.

Quarterly reports on PSA targets are also made to the PSX Cabinet Committee.

The National Criminal Justice Board reviews progress against Local Criminal Justice Boards' delivery agreement targets quarterly.

The CPS Board reviews progress on the PSA targets, internal performance measures, key initiatives and key risks to delivery quarterly. A balanced scorecard/traffic light approach is used. The Board also consider key aspects of performance each month.

The Cycle

Month	Pre SR Year	SR Year	Post SR Year
April			The cycle is the same as pre SR year
May	Start SR analysis to determine medium term priorities (three years)		
July	Chief Secretary announces SR	Chief Secretary announces SR settlement	
Sept	AG agrees medium term priorities	Implications considered	
Oct	SM Autumn Planning Conference to note medium term priorities and agree priorities for forthcoming year - provides a steer to Areas/HQ to consider scope of their Business Plans AG writes to Chief Secretary re medium term priorities Work on Analysis of Resources and PSA begins	SM Autumn Planning Conference decide how to meet PSAs - provides a steer to Areas/HQ to consider the scope of their plans Outline of Strategic Plan, one year Business Plans and PSA delivery plans scoped	
Nov	Outline of Corporate Business Plan for forthcoming year developed Board agree outline Corporate Business Plan for forthcoming year - provides a steer to Areas/HQ to start developing business plans in earnest Work begins on corporate risk register Discussions start with LCJBs re CJS local plans and delivery agreements	Board agreed outline of Strategic and Business Plans and confirm direction of delivery plans is on course - provides a steer to Areas/HQ to start developing Business Plans in earnest Work begins on corporate risk register Discussions start with LCJBs re CJS local plans and delivery agreements	
Dec	Board agree budget allocations Final draft of Corporate Business Plan circulated to Areas/HQ for information and to AG for agreement	Board agree budget allocations Final draft of Strategic and Business Plan circulated to Areas/HQ for information and to AG for agreement	
Jan	Formal commission of Area/HQ Plans Corporate Business Plan for the forthcoming year published	Formal commission of Area/HQ Plans Strategic and Business Plan published	
Feb	Analysis of Resources and draft PSA submitted to Treasury Area HQ Business Plans for the forthcoming year completed Corporate risk register signed off by the Board	Area/HQ Business Plans for the forthcoming year completed Corporate risk register signed off by the Board	
Mar	CJS local plans and delivery agreements signed off by the national CJ Board	CJS local plans and delivery agreements signed off by the national CJ Board	

Strategic Planning Unit 13 December 2002

Extract from CPS Strategic Plan 2001-2004

Aims and objectives

The aim of the Crown Prosecution Service is: To contribute to the reduction both of crime and the fear of crime and to increase public confidence in the criminal justice system by fair and independent review of cases and by firm, fair and effective prosecution at court.

The objectives are:

- To deal with prosecution cases in a timely and efficient manner in **partnership with other agencies**

- To ensure that the charges proceeded with are appropriate to the evidence and to the serious of the offending **by consistent, fair and independent review of cases in accordance with the Code for Crown Prosecutors**

- To enable the courts to reach just decisions **by fairly, thoroughly and firmly presenting prosecution cases, rigorously testing defence cases and scrupulously complying with the duties of disclosure**

- **To meet the needs of victims and witnesses in the criminal justice system**, in co-operation with other agencies

Strategic themes and goals

Strategic theme: Performance

- Goal: **to create an organisation which constantly improves its performance and thus its contribution to the criminal justice system and the communities it serves**

Strategic theme: Partnerships

- Goal: **to ensure the CPS plays a full and influential part in the criminal justice system**

Strategic theme: Public confidence and staff pride

- Goal: **to achieve a significant increase in public understanding and confidence in the CPS and to create and organisation that staff take pride in**

Strategic theme: People

- Goal: **to create an organisation whose workforce is competent and confident, positive and flexible, open to change, valued and representative of the communities we serve**

Strategic theme: Professionalism

- Goal: **to increase the professionalism of all staff and the CPS as a whole**