

**07-08**  
**FOR THE PERIOD**  
**1 APRIL 2007 TO 31 MARCH 2008**

**RISK MANAGEMENT**  
**AUTHORITY**  
**ANNUAL REPORT**  
**AND ACCOUNTS**





**“ OUR MISSION  
IS TO HELP  
PROTECT THE PUBLIC  
BY PROMOTING  
AND SUPPORTING  
EXCELLENT PROFESSIONAL  
PRACTICE IN MANAGING  
THE RISK OF SERIOUS HARM  
PRESENTED BY VIOLENT  
AND SEXUAL OFFENDERS ”**

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# CONVENER'S STATEMENT

This is the third Annual Report and Accounts for the Risk Management Authority and covers the period 01 April 2007 to 31 March 2008.

To: Mr Kenny MacAskill, MSP  
Cabinet Secretary for Justice



I am delighted to present this third Risk Management Authority Annual Report and Accounts for the reporting year 01

April 2007 to March 31 2008. The First Minister has stated that public safety is his Government's top priority in working with high risk offenders and the business objectives of the Risk Management Authority (RMA) support Government objectives to build safer and stronger communities by the development of more effective systems of offender risk management. The RMA is now in its fourth year as a non departmental public body, established to improve the effectiveness of risk assessment and management processes in Scotland, and this past year has seen significant progress in the integration of its work with others working with serious offenders. This will be my last Annual Report as Convener and I should like to pay tribute to my colleagues on the RMA Board and staff and to all those who have worked with us over the last three years in the exhilarating and demanding early stages of developing a solid basis of risk management to improve public safety in Scotland.

The need for an independent body to set and monitor compliance with standards, to provide evidence-based policy advice and to develop best practice in risk and offender management was identified by expert committees including MacLean and Cosgrove. In 2001, the recommendations of the MacLean Committee were presented to the Scottish Parliament in a White Paper, Serious Violent and Sexual Offenders, which stated:

**"No existing body has the combination of expertise, influence and a cross-Scotland mandate which is required of the RMA."**

The RMA ensures delivery of the political and professional challenge to co-ordinate policy and practice to deliver the highest standard of risk management. The establishment of the RMA as a centre of excellence has helped the development of a logical, cost effective integration across agencies and has promoted best practice, knowledge transfer, coherence and consistency. The RMA has, succeeded in meeting its core requirements, whilst also being faithful to the vision of the founding policy that its resources be employed over time to raise the standard of risk assessment and management more widely. The RMA has accredited assessors who have the required expertise and competencies and has provided coaching and training for those who are capable of achieving that standard. At the same time, it has also developed resources which provide both a comprehensive foundation and advanced level of knowledge and skill to the range of professionals involved in the management of serious offenders.

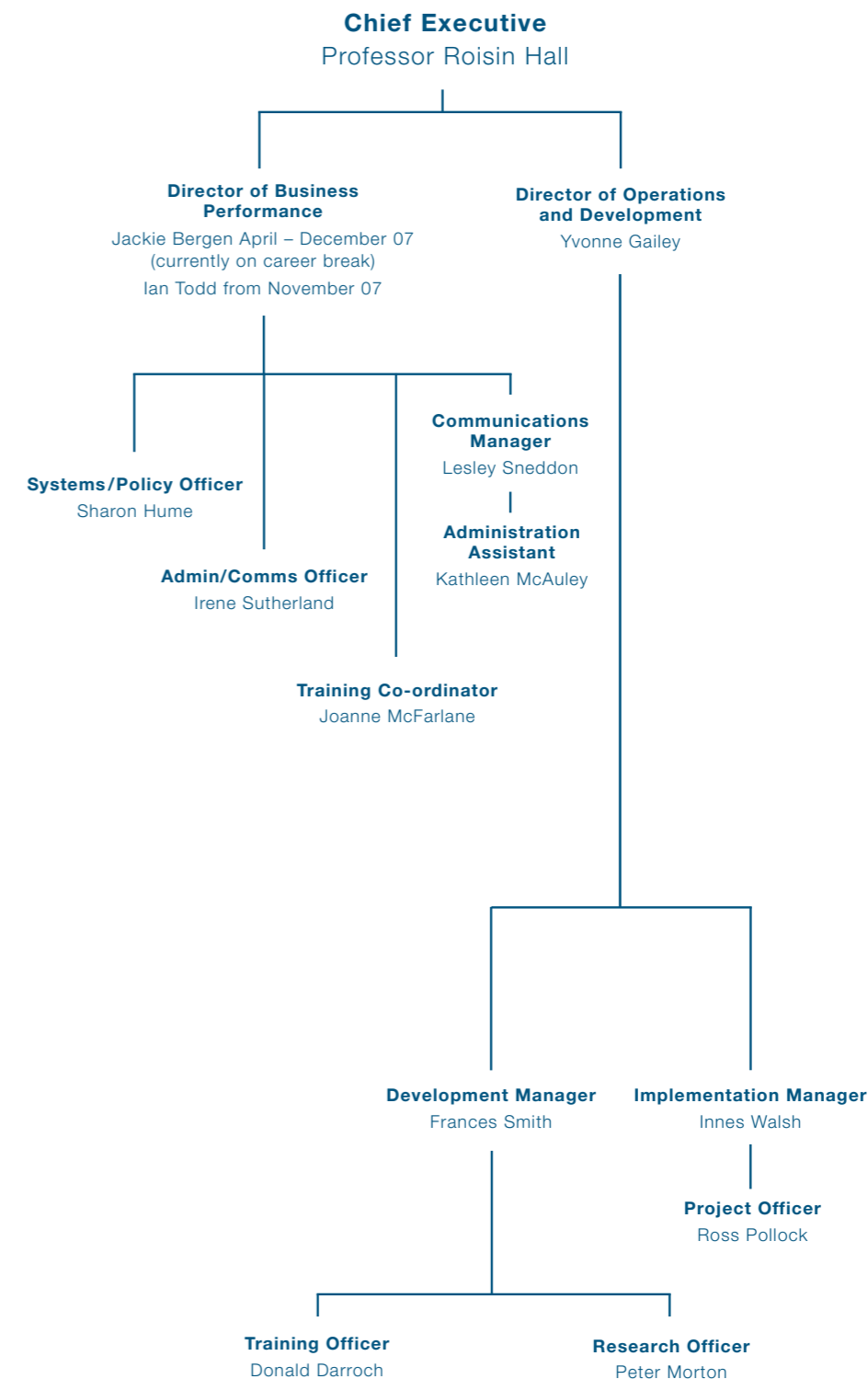
The last year has seen significant new developments as well as a consolidation of the initial work of the RMA and I should like to pay tribute to the hard work and resilience of the RMA Board and staff in this period. The risk management standards and guidelines published in May 2007 are a unique contribution to their field and have attracted considerable interest and positive comment from those working with serious sexual and violent offenders in Scotland and in other jurisdictions. Their relevance to the field of mental health and to new developments such as the Multi Agency Public Protection Arrangements (MAPPA) and the Community Justice Authorities (CJAs) is now increasingly recognised. To implement these standards and those for risk assessment which were published in 2006, the RMA has provided new training programmes and is working closely with the Scottish Government to align these with a national training strategy for offender management. The independent

accreditation by the RMA of assessors is keeping pace with the increasing number of orders raised for consideration of the Order for Lifelong Restriction. The research programme and seminars have contributed to a more robust evidence base for practitioners working with serious offenders.

In January 2007, the First Minister called for a review of the delivery of functions to ensure the most effective systems of public safety. This is ongoing, and in tandem the RMA will shortly be consulting with stakeholders in preparation for drawing up its next three year Corporate Plan. Over the past year, the RMA has undertaken a number of joint initiatives with practitioners and policy makers to embed effective risk management into both custodial and community settings and this work will continue. This is possible only because of the support of Scottish Ministers in maintaining the resources required for this work and the interest and co-operation of the agencies and organisations with whom the RMA has worked. Public safety and the development and assurance of good practice remain our priorities. There is a compelling argument for developing and supporting the quality of risk assessment and management in forthcoming years for those offenders whose current risk may escalate to a more serious level and who pose a high to very high risk of causing serious harm to others. Particularly, those offenders in transition between custody and community and those managed in the community.

**Robert Winter**  
Convener  
12 June 2008

# ORGANISATIONAL CHART



# INTRODUCTION

The Risk Management Authority (RMA) was established in 2004 as an independent public body with statutory powers to develop effective risk assessment and management across agencies in the interests of public safety. Scotland has received significant acclaim for this development, both within the UK and internationally. The need for an independent body to set and monitor compliance with standards, to provide evidence-based policy advice and to develop best practice in risk and offender management had been identified by expert committees including MacLean and Cosgrove.

A common recognition of the need for a collaborative approach to public safety has seen complementary developments in offender management in Scotland, such as the National Advisory Body on Offender Management (NABOM) and the development of the National Strategy, the introduction of Multi Agency Public Protection Arrangements (MAPPAs) and the establishment of the Community Justice Authorities (CJAs). The RMA has worked closely with the Scottish Government in the development of these initiatives and its statutory functions provide an integrated base for the support of both policy makers and practitioners.

#### **Role and Functions of the RMA**

The role of the RMA is to promote public protection by supporting and developing professional practice in managing the risk of serious harm presented by violent and sexual offenders in Scotland. The RMA works with agencies, organisations and individuals within the Scottish criminal

justice system to assist them in the identification and effective management of serious violent and sexual offenders and ultimately work towards a safer Scotland.

One of the most important messages that the RMA promotes is that, if agencies are to impact successfully on the types of risk that pose the greatest threat to public safety, offender supervision must begin with, and thereafter rely upon, robust risk assessment and management plans that generate purposeful action to manage that risk. This requires working across the spectrum of risk and in both custodial and community settings.

#### **The Way Forward**

On 30 January 2008, First Minister Alex Salmond delivered a statement to Parliament on Delivering More Effective Government.

In his statement, the First Minister said:

**“Public safety is our top priority in dealing with high risk offenders. We will review the role of the Risk Management Authority to determine whether integrating the functions into other bodies would improve the effectiveness of our systems.”**

Subsequently, the Cabinet Secretary for Justice in a letter to the RMA Convener expressed his gratitude **“for the rigour and focus which it (the RMA) has brought to its role”** and stated that **“we wish to build on, not to lose, the ethos and skills of the Risk Management Authority, whilst at the**

**same time deliver a more streamlined and integrated approach.”**

The RMA is liaising with the Scottish Government in this period of review and has drafted plans and undertaken preliminary work in response to the Minister’s statement. Staff at the RMA are meanwhile continuing “business as usual” working towards the integrated approach to effective risk assessment and management that is fundamental to criminal justice and the safety of the public in Scotland.

Following the review, the Cabinet Secretary for Justice will determine whether the RMA will retain its current status or change form. Whatever the outcome, it will be important for the RMA to ensure options for the future provision of its functions and maintain the skills of the organisation in developing best practice in risk assessment and management in Scotland.

We are working closely with the Scottish Government to ensure that the valuable contribution by the RMA to effective risk assessment and management that has been made in the last few years is retained and that the RMA can build on its work to ensure best practice in the management of serious sexual and violent offenders in Scotland.

A full programme of research, training and events will be delivered in the coming year and the RMA is committed to working with the Scottish Government and other appropriate bodies, informing policy and bridging the gap between policy

# CHAPTER 1

## POLICY AND ADVICE

and practice. Much of our work has been acknowledged nationally and internationally and we will continue to drive forward our ambitious plans for the future.

There is a sound argument for developing and supporting the practice of risk assessment and management of those offenders whose current risk may escalate to a more serious level unless it is addressed appropriately. There are many factors that contribute to public safety; the effective administration of the Order for Lifelong Restriction (OLR) and MAPPA are among those. Such effective administration relies heavily on sound risk assessment and management practices. Risk assessment is the essential foundation of effective risk management as the level, nature and focus of risk management strategies must be proportionate and relevant to the individual risk. Early indications from the first 18 months of the OLR suggest that the quality of risk assessment is contributing to effective targeting of that sentence. The successful implementation of MAPPA equally hinges on a quality of risk assessment that results in offenders being managed at the correct level. The effective administration of the arrangements, and thus public safety, would be jeopardised by failure to target appropriately.

The achievements of the RMA since its inception can be evaluated against the recommendations of the MacLean Committee and the parameters of the legislation, and can evidence cohesion and integrity of the main functions. Those achievements, while significant, are necessarily in their early stages and may merit considerable further development as anticipated by the MacLean Committee and the White Paper. In our discussions with stakeholders, we have been delighted by the clear support for these initiatives to be given the opportunity to be consolidated and developed.

Our main achievements for this reporting year are listed in the following chapters of this annual report.

### “The RMA has the potential to influence the way criminal justice develops more positively and proactively in Scotland in the future.” *-Academic*

The RMA has close working relationships with a number of Scottish Government departmental teams, working groups and forums in fulfilling different aspects of its statutory functions to address serious offending behaviour. These relate to policy advice and review, standard setting and regulation, development of best practice and training and the establishment of a research evidence base. The RMA has been invited to join a significant number of working groups in collaboration with different teams within the Justice, Health and Education directorates, and contribute to initiatives which they wish to implement.

The RMA was asked by the First Minister to sit on an Inquiry into the management by the NHS of a restricted patient which reported in March 2007. The RMA is also working with the Scottish Government Mental Health Division, at their request, on the revision of the Memorandum of Procedure for the management of restricted patients.

The results of the RMA's research work inform Scottish policy and provide an evidence base for offender risk assessment and management. The specialist knowledge and experience of the RMA is valuable to government departments to achieve improvement and ensure best practice and RMA staff have been asked to contribute to a number of Ministerial and Scottish Government committees and projects. These include policy advisory groups such as the National Advisory Body for Offender Management (NABOM) and its

subgroups the Performance Improvement Strategy Group, the Scrutiny Panel for the Community Justice Authority (CJA) annual plans and the National Standards for Criminal Justice Social Work Project Advisory Group. Other advisory groups include the Custodial Sentences and Weapons Act Planning Group, the Risk Assessment Management Pathways Working Group and the Training Strategy Group.

### “Value in RMA for dissemination and as a focal point and source of expertise for developments in risk management.” *-Voluntary Sector*

The RMA also contributes advice and guidance to a number of implementation groups working on new initiatives such as MAPPA and the introduction of new methods such as Stable and Acute 2007 and the LSCMI .

The RMA contributes to strategic policy groups led by other criminal justice agencies such as the SPS Offender Outcomes Strategy Group, ACPOS Offender Management Group, the Skills for Justice Country-wide Group and the Lothian and Borders Women Centred Offending Group, for example, in response to a request from the Chief Officer of Lothian and Borders Community Justice Authority (CJA), the RMA, is working closely with the group to construct a profile of

women offenders within the Lothian and Borders region. The aim of the study is to investigate the female offender pathway through the criminal justice system, with a view to identifying the needs of this population and the efficiency of current systems.

In February 2008, the RMA was asked to provide advice to the Scottish Prison Service in their internal review of the Open Estate following the absconding and further offending of a prisoner.

The RMA sponsored and chaired the second ACPOS / RMA / ADSW Think Tank in January 2008. The aim of the think tank is for partner agencies to learn from one another's experiences, address key areas and ultimately propose future policy and legislative change. The themes discussed on this occasion were performance management, public confidence and media management.

The RMA has been approached by other jurisdictions to give advice on other organisations' policy and practice with serious offenders, including organisations from:

- Northern Ireland;
- England & Wales;
- Republic of Ireland;
- Czech Republic;
- Switzerland;
- Holland; and
- Israel.



## CHAPTER 2

# ACCREDITATION AND APPROVAL

“I was greatly assisted by the thorough and comprehensive Risk Assessment Report prepared.”

-High Court Judge

The RMA is represented on the British Psychological Society (BPS) working party on the assessment of terrorists.

Discussions have been held with the Central Barring Unit team on their initial plans for developing risk assessment systems and further support offered.

The RMA has stressed the need to resource psychological and psychiatric risk assessment court reports and to include this in workforce force planning. The RMA is in discussions with the Scottish Government Mental Health and Justice directorates, the Scottish Court Service and the Forensic Network.

It is essential that policy and advice are based on evidence of improvements of practice. This requires the RMA to keep abreast of research on current Scottish procedures, the recommendation for and evaluation of new programmes and to draw evidence from developments in other jurisdictions. The dissemination to policy makers and practitioners of the lessons learned will inform changes to interventions and best practice.

“These [risk assessment] reports are, of their nature, complex. They are highly detailed, highly professional pieces of work.” -High Court Judge

One of the operational statutory requirements for the RMA is to set standards and accredit risk assessors and the manners of approach to be used in the assessment of those offenders for whom the court was considering an Order for Lifelong Restriction (OLR).

The RMA administers the Accreditation Scheme (made by Order of Scottish Ministers on 29 March 2006 – SSI 190 The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006) to accredit the assessors who will be commissioned by the court to carry out the risk assessment and prepare a Risk Assessment Report as directed by the High Court under a Risk Assessment Order (RAO).

The RMA also has a statutory responsibility under Section 6(6) of the Criminal Justice (Scotland) Act 2003, to approve and review implementation of Risk Management Plans (RMP) prepared for those offenders subject to an OLR.

In April 2007 the RMA published Standards and Guidelines for Risk Management, designed to assist in planning the risk management of offenders who have received an OLR. To date almost 1000 printed copies of this document have been issued to practitioners across the UK and the website version is accessed regularly.

### Accreditation

Becoming an RMA-accredited risk assessor allows a professional in the field of offender risk assessment and management the opportunity to become involved in a very important, valuable and interesting area of work. The assessors have very specific responsibilities placed upon them by the Court and by virtue of their accredited status. It is very important to the RMA that the accredited assessor group is supported in their work and a range of activities has been put in place to do this. For example, accredited assessors have access to funding for their continuing professional development; administrative support for risk assessment multidisciplinary meetings; advice in all aspects of the standards and guidelines; and peer support, either ad hoc or via quarterly events.

The RMA expect that applications for accreditation as an RMA accredited risk assessor will come from persons from a variety of professional backgrounds. The RMA has in place a number of initiatives to encourage applicants to apply for accredited status. Quarterly pre-application information sessions held in conjunction with Good Practice Seminars have been well attended with more than 60 people coming along to find out more about the accreditation process and have their questions answered. The RMA website contains information for applicants and relevant forms available to be downloaded. The RMA also encourages interested parties to contact them for an informal meeting or telephone conversation.

Following a review conducted during the reporting year, the RMA has implemented a new accreditation process, which is designed to be as supportive and facilitative as possible. Part of this is the removal of the requirement to submit a report converted into the RMA style. In addition, a funded framework to support applicants in reaching the required level of competence via training and mentoring was introduced. This has been most important in the case of deferred candidates, who have had access to fully funded training in risk assessment, court room skills and one-to-one mentoring.

Funding for training is also available for the continuing professional development of accredited assessors.

The RMA received a total of 11 applications for accreditation during this reporting year. Of these:

- three applicants were accredited;
- three applications were declined;
- the Accreditation Committee deferred their decision regarding four applications; and
- one applicant withdrew their application.

Of those already accredited prior to this reporting year, three were re-accredited for a further period of three years.

The RMA has a statutory timescale of two months in which to consider applications and make a decision on whether to award accreditation. There is the ability to extend

# CHAPTER 3

## STANDARD SETTING

this period as long as the RMA informs the applicant. The average time the RMA took to consider and make a decision during this reporting year was 53 days. On two occasions during this reporting year the RMA had to extend the timescale. However, in both cases this was due to a delay in receiving references.

In March 2008, the RMA commissioned Ipsos MORI to conduct a market research project to gather the views of those who had expressed an interest in becoming an accredited assessor but have not gone on to apply for accreditation. The results of the research are due in June 2008 and this report will be used to inform a future marketing strategy to ensure the accreditation process is as facilitative as possible.

The RMA has been in negotiations with the Scottish Government, Scottish Court Service and employers to facilitate potential and accredited assessors applying and carrying out duties associated with accreditation.

### Risk Assessment Orders and OLRs

Under the Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006, the RMA is required to keep an up-to-date register of accredited assessors. This is available to the High Court via the RMA website and allows the Court to contact assessors directly to commission a report should an RAO be raised. The register also contains additional information on areas of speciality or dates when an assessor is unavailable. The RMA is also the point of contact for Clerks of the Court regarding the register. The RMA provides a package of support to assessors when they are

undertaking a Risk Assessment Report on behalf of the Court. These risk assessments are in-depth, involving several interviews with the offender, large amounts of collateral information and meetings with other professionals involved in the case.

In this reporting year, 11 RAO were made by the Court. From these, three OLR have been made, two offenders have had an alternative sentences imposed and the remaining cases are ongoing.

The Standards and Guidelines for Risk Assessment, published in the last reporting year, are used by assessors when performing risk assessments regarding those offenders for whom an RAO has been made. Any other person having functions in relation to the assessment of risk is to have regard to these guidelines and standards in the exercise of those functions. This includes assessors commissioned on behalf of the offender. The standards are set out as a backbone of mandatory steps and the guidelines incorporate advisory notes to assist the assessor in conducting a robust assessment. There is also a standardised RMA designed structure for the Risk Assessment Report itself and detailed guidelines regarding its use. The structure emphasises the need for the report to have clarity and fitness for purpose.

The RMA recognises the need for assessors to have the flexibility to conduct risk assessments according to the varying circumstances of each offender's case. However, there is also a requirement for a high degree of consistency in approach and output, both in terms of quality

and adherence to legislative and ethical requirements. Further details are provided in the RMA Accredited Risk Assessor Code of Conduct. The legislation requires assessors to indicate a risk rating of 'high', 'medium' or 'low' in any assessment undertaken to inform the High Court's consideration of an Order for Lifelong Restriction. In order to allow assessors to apply these ratings in a useful and consistent manner, the RMA has sought to define each rating as a description of the offender's overall risk on the basis of comprehensive consideration of the evidence as laid out in the report.

An RMP is prepared by the Lead Authority within nine months of an OLR being made. This must follow guidance issued by the RMA and be submitted to the RMA for approval. Throughout the sentence, a report must be produced annually on the implementation of the RMP. In all cases thus far, the Scottish Prison Service on behalf of Scottish Ministers has been the Lead Authority. In this reporting year, three RMPs were submitted to the RMA and approved after appropriate discussion on key aspects of risk management during custodial detention. RMA staff have worked collaboratively with the risk management teams within the Lead Authority and the Committee has sought further information from the case manager before approval.

### "RATED [tools directory] valued as a resource." -Parole board England & Wales

Research activity underpins the setting of standards by informing on best practice and approaches that have been found to be effective. The RMA was established to set standards and accredit risk assessors and the manners of approach to be used in the assessment of those offenders for whom the court was considering an Order for Lifelong Restriction (OLR). Additionally, the tasks included approval and monitoring of the Risk Management Plans prepared for those offenders serving an OLR sentence.

The RMA administers the Accreditation Scheme (made by Order of Scottish Ministers on 29 March 2006 – SSI 190 "The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006). Section 6(6) of the Criminal Justice (Scotland) Act 2003 requires a Risk Management Plan to be prepared for any offender subject to an Order for Lifelong Restriction.

### Achievements

Following the success of Version 1, the RMA published **Version 2 of the Risk Assessment Tools Evaluation Directory (RATED)** in June 2007. This is a comprehensive evaluation of risk assessment tools which categorises them by usefulness for different purposes and types of offender. RATED details the most current and frequently used risk assessment tools, in Scotland, the UK and internationally. RATED is designed to be a quick reference source of tools with brief descriptions of their strengths and weaknesses in their applications. RATED complements of the RMA Standards and Guidelines for Risk Assessment

for Accredited Assessors undertaking assessments for the High Court when the Court is considering whether to impose an OLR. Almost 1800 printed copies of Version 2 have now been issued and RATED has received world-wide recognition as being unique in the field of risk assessment.

Version 1 of RATED was informed by comments received from a wide stakeholder consultation. Version 2 contains a number of changes. These include:

- refining tool templates to provide a better indication of the type of risk tools assess;
- adding a number of tools, for example B-SAFER, SAM, and RMS;
- providing individual templates and assessments for LSI-R and LS/CMI; and
- creating a separate entry for the Psychopathy Checklist – Youth Version (PCL: YV); and Providing an overview of tools that would benefit from further validation.

In May 2007, the RMA published **Standards and Guidelines: Risk Management of Offenders Subject to an Order for Lifelong Restriction**. The Standards and Guidelines are primarily for the Lead Authority who must prepare Risk Management Plans for those offenders subject to an OLR. However, as with the Standards and Guidelines for Risk Assessment, these have a wider relevance for best practice and have been disseminated widely to assist in improving

offender risk management generally in Scotland.

These standards have provided a basis for contributions by the RMA to other risk management systems. Notably, the RMA conducted a review of the risk assessment and management arrangements for restricted patients; contributed to the development of guidance for Care Programme Approach for restricted patients; MAPPA guidance for restricted patients; and a redevelopment of the Memorandum of Procedure. The RMA has also contributed to the development of Integrated Case Management (ICM) in the Scottish Prison Service and provided a framework for advice to MAPPA. These have been the basis for training activity by the RMA, both as part of a planned initiative and in support of practitioners involved in risk management.

### Work in Progress

The RMA has begun a review of the Standards & Guidelines for Risk Management and the Standards and Guidelines for Risk Assessment. Most bodies (Scottish Prison Service, criminal justice social work, police, NHS) have their own internal operational standards and guidelines. Increasingly, it is suggested that there is scope for some generic standards for bodies working in the field of public safety and the RMA is looking at the possibility of applying the Standards & Guidelines for OLR cases to suit the needs of offenders covered in the emerging MAPPA protocols. Periodic evaluation of their application through inspection and research will maintain their high standards.



# CHAPTER 4

## RESEARCH

“would like to see remit broadened to include risk management with regard to child protection.”

-Social Work

“RMA’s involvement in women offender groups should be supported.”

-High Court Judge

Research is of crucial importance and complements and provides the evidence base for the standards and guidelines for risk assessment and risk management and related training activities. The result of the RMA’s research has also assisted, informed and given legitimacy to the RMA’s input to various working groups and policy discussions with the Scottish Government.

The main functions of Research within the RMA are to:

- review best practice in criminal justice and/or offender management in Scotland and elsewhere;
- stay abreast of developments in risk minimisation; and
- determine gaps in service provision and practitioner requirements.

Research has provided an evidence base for the content of risk management planning protocols and underwritten the Standards & Guidelines for practitioners.

As mentioned in the Standard Setting section of this report, the RMA published Version 2 of the Risk Assessment Tools Evaluation Directory (RATED) during this reporting year and plans are in place to revise this every second year.

The RMA recognises that developments in criminal justice processes and practices are continuous; and that dialogue between practitioners, researchers and policy-makers

will lead to evidence-based, incremental improvements. Contributing to this growth in knowledge and development of practice, and in response to practitioner consultation, the RMA commissioned, completed and published a number of key pieces of research:

- A review of **research and practice in the risk assessment and risk management of children and young people engaging in offending behaviour**. The contract was awarded to Michele Burman, Professor of Criminology and Co-Director of the newly established Scottish Centre for Crime and Justice Research, a partnership among the universities of Glasgow, Edinburgh and Stirling. The study considered issues such as sexual and violent offending in young people, gender, risk assessment tools, decision making and implementation of management planning. The final report was published on the RMA website by the RMA in September 2007.

- The Minister for Justice requested that the RMA undertake a research project to **validate Risk Matrix 2000 (RM2000) for use in Scotland** in light of a recommendation from Professor George Irving’s “Registering the Risk” report. RM2000 is a sex offender risk assessment tool commonly used by the police, Scottish Prison Service and social workers. This project was carried out by Professor Don Grubin of Newcastle University and the report into the findings was presented at the RMA Good Practice Seminar on 27 March 2008 and published on the RMA website.

- Consultation with stakeholders and practitioners in the field on the Standards and Guidelines for RMA Accredited Risk Assessors, the accreditation process of these assessors, and whose Research and Training Strategy, highlighted the need for developmental work in the field of **assessing violence risk**. In addition, the Scottish Government requested the urgent progression of this project to support the introduction of violent offenders into the MAPPA system. The RMA commissioned two studies: a literature review on the assessment of offenders who pose a risk of violence; and a meta-analysis of violence risk assessment tools. The findings of this project will inform the RMA’s future work in advising on best practice on the assessment of risk of violence. The final report will be published in late 2008.

In the last reporting year, the RMA reported on the work it had undertaken with the (then) Scottish Executive, Scottish Prison Service, and Association of Directors of Social Work to adapt and **introduce the Level of Service Case Management Inventory (LSCMI) to Scotland**. The RMA continues to make an active contribution to the development of this version and the Director of Operations and Development is a member on the implementation steering group.

The RMA was tasked by the Scottish Government to **evaluate the use of Stable and Acute 2007 (SA07) in Scotland**. Phase one of the project is to have the author of the tool develop a project plan that lays out the data collection and quality assurance measures for the implementation phase.

# CHAPTER 5

# TRAINING

“The learning which the RMA has built up would be relevant to generic social work standards.”

-Social Work

Scottish agencies that have already adopted SA07 require a co-ordinated and systematic approach to data collection that will facilitate later analysis for validation and evaluation purposes. The contract was awarded to Dr Andrew Harris in January 2008. It is anticipated that further phases and full evaluation will take approximately five years to complete.

Involvement in the SA07 and LSCMI projects are seen as long term commitments through which the RMA would continue to contribute to effective offender management in Scotland.

The RMA looked at the **current arrangements for risk assessment and management of restricted patients in detention and the community**. Restricted patients are those mental health patients who are subject to special restrictions because of the risk they pose associated with their mental disorder.

During this reporting year the RMA established a **Research Advisory Group**, a group of leading national and international academic and practitioner researchers to provide a range of advisory services on research matters related to the risk assessment and management of serious violent and sexual offenders.

## The Way Forward

Research into effective monitoring and community management of offenders should feed back into training needs, practice and raise public confidence. Longitudinal evaluation of offender assessments and risk management planning will also serve to improve service provision and confirm Scotland's commitment to pioneering excellence.

“Wonderful resource for all levels in organisation, and excellently ‘user-friendly’.” -*Training Feedback*

The RMA has a statutory responsibility to promote effective practice in the assessment and minimisation of risk and to assist in improving practice in offender risk assessment and management in Scotland. In addition, the responsibilities of standard setting and accreditation require that the RMA take responsibility for assisting practitioners in developing the skills and competences necessary to meet those standards. Through setting clear criteria by which such competences may be evidenced, and in consultation with external agencies, the RMA has identified initial training needs to assist in raising the standard of risk assessment and management practice. The RMA has begun to put in place a comprehensive training programme for practitioners involved in this area of work and has appointed a Training Officer to take this forward.

The RMA has advised **the National Advisory Body on a training needs analysis and plans for integrated training across the field of offender management**.

Training needs have been identified and the sourcing and compiling of training materials have been accomplished. The provision of information on risk assessment instruments has been achieved through the publication of RATED and continues to be updated through research into developments in this field.

In this reporting year the RMA has carried out the following training projects:

- The RMA has developed a **CD Rom – Assessing and Managing Risk**, in collaboration with Professor Hazel Kemshall of De Montfort University, for use in Scotland, as an essential module in the RMA training strategy. The production of the CD “Assessing and Managing Risk” as a training package has been enthusiastically received by Social Work in Scotland and by the Scottish Prison Service. Training events have been well attended and in response to demand, more are planned for the future. Nine CD Rom training events were held in this reporting year and over 160 first line managers are now trained in its use. The training will contribute to evidence-based practice in the assessment and management of offenders who pose a risk of harm to themselves or others. The objective of the project was to provide a resource that was consistent with the Standards and Guidelines for Risk Management and would serve as a practice manual for MAPPA responsible agencies.

- The RMA established a **small pool of providers of training design and delivery services**. It is intended that this pool will be drawn upon as and when required by the RMA to provide a range of services on training matters relating to risk assessment and risk management. Members of the group may be called upon to design, deliver or evaluate training programmes, undertake training needs

analysis or advise on training related matters. The group was established in November 2007 and it is anticipated that it will run for two years.

- A training module has been run and completed **to provide trainers in the LS/CMI, a risk assessment and management tool for offenders**. The LSCMI is a case management tool that incorporates the principles of risk, need and responsibility with wide applicability in offender management. A total of 21 delegates attended this course with 12 trainers completing the course successfully.

- The RMA ran two courses for the creation of a pool of trainers in **the structured professional judgement approach to risk assessment, HCR-20, RSVP, SARA, B-SAFER and SAM**. A third course to complete the training is scheduled.

## Work in Progress

- The RMA has commissioned Coventry University to develop and deliver a new training course **Developing and Delivering: Risk Management Planning and Practice**. The primary objective of this training is the development of knowledge and skills relating to the components of effective risk management of the most serious violent and sexual offenders; the secondary objective is to facilitate the development of collaborative practice through inter-agency communication, knowledge, experience and skills exchange during the training. The training is based on and aims to promote the standards of practice identified by the RMA for those managing offenders subject to an OLR.

# CHAPTER 6

## BEST PRACTICE

“value in RMA as in dissemination and as a focal point and source of expertise for developments in risk management.”

However, the critical level of risk posed by MAPPA Level 3 offenders in the community demands almost the same rigour as OLR subjects in the interests of public safety. For this reason the course is designed to target practitioners working in the community and supporting MAPPA as well as the Scottish Prison Service and forensic mental health staff. Training at this level is not currently available from another source. The training, scheduled to take place in June and July 2008, will require online knowledge checks, assessments and training modules to be completed prior to attendance.

- Continuation of the training in **Assessing and Managing Risk** with a further 20 events planned for the next reporting year.
- The design and delivery of a distance learning module on **Risk Assessment Report Writing**, with the primary objective of developing knowledge and skills relating to the components of effective risk assessment of the most serious violent and sexual offenders, and the presentation of such assessment in the RMA report format. The contract was awarded to the School of Forensic Mental Health in March 2008.
- In order to facilitate the **Developing and Delivering: Risk Management Planning and Practice** online modules, it is first necessary to develop the RMA website to facilitate an interactive section. Work will be commissioned in May 2008.

The RMA will report on these projects in its next Annual Report and Accounts.

“the evidence base and applied knowledge provided by the RMA and the support of practitioners should not be lost.” -*Training Feedback*

Identifying and promoting best practice is a core function of the Risk Management Authority. Drawing evidence from different agencies across Scotland and complementing that with knowledge of practice in other countries provides an evidence based approach to improving offender management. Understanding what enables effective practice and disseminating the evidence through seminars, conferences and training events engages different agencies in developing practice.

To ensure that key stakeholders can be reached with ease the RMA carried out a **full review of the workings of its contacts database** and worked with the Information Services and Information Systems (ISIS) department of the Scottish Government to design a new database that was fit for purpose. At the same time data checks were carried out to ensure the data held was as up-to-date as possible. The new database was installed on the RMA system and this has greatly eased administration time and ensured accuracy. We are now aiming to send the bulk of RMA flyer information by email, improving efficiency and reducing costs. The RMA now contacts over 77% of our stakeholders by email.

The RMA's **2nd Annual Conference** was held at the Crowne Plaza in Glasgow on 01 June 2007 and attracted over 230 delegates. The conference was a full day of key speakers from across the globe sharing best practice in the fields of risk assessment and risk management

coupled with smaller participation based workshops on a number of key themes. Keynote speakers were Don Andrews of Carleton University, Canada who discussed “Assessment of Offenders and Programmes: Enhancing Adherence with Risk-Need-Responsivity”; Baroness Vivien Stern CBE, Convenor of the Scottish Consortium on Crime and Criminal Justice who talked about “Criminal Justice in the Risk Society”; and Mr Christopher Wilson who reported on the development of and findings from the Thames Valley pilot of ‘Circles of Support and Accountability’. The Conference included eight parallel workshop sessions on a variety of topics.

The RMA has continued to develop its **website** and it has evolved as the organisation has to become our main source of information for stakeholders. It includes news, all event information, publications, presentations and general information on the work of the RMA. RMA staff now direct many enquiries to the website in the first instance.

Three **Good Practice seminars** were held, in September 2007, December 2007 and February 2008 attended by 200 attendees across the events. Speakers at the seminars were Dr Jackie Craissatti from the Bracton Clinic in Kent who talked about Management of Complex Sex Offenders in the Community; Dr Andrew Harris, Forensic Assessment Group, Ontario who discussed Dynamic Risk Assessment of Sexual Offenders for Treatment Planning and

Community Management; and Professor Don Grubin of Newcastle University who reported on the findings of his RM2000 research.

The RMA led or participated in a number of **workshops or presentations** at stakeholder events and conferences including:

- A joint presentation with the National MAPPA Co-ordinator at the Skills for Justice Annual Conference in Edinburgh in February 2008;
- A joint workshop with the Violence Reduction Unit of Strathclyde Police, on risk management with violent young offenders, at the 5 Nations Biennial Conference on Children and Young People Who Offend in February 2008;
- SSCJA Workshop on a Women Centred Approach to Offending;
- Scottish Prison Service Annual Conference in October 2007;
- A joint presentation with Ian McIntosh, Senior Social Worker at the Scottish Government at the ADSW Conference on LSCMI;
- Symposium at the IAFMHS Conference in Montreal in June 2007; and
- A presentation to the Home Office in April 2007.

#### Work in Progress

Plans for 2008 Annual Conference are well underway. It will be held on 04 June 2008 at the Glasgow Hilton Hotel. The theme of



# CHAPTER 7

## BEST VALUE AND GOOD GOVERNANCE

this conference is Assessing And Managing Violence Risk. Key speakers include Professor Jack Bush, Vermont Department of Corrections, who will discuss "Self Risk Management for Violent Offenders", Tony Beech, Professor in Forensic Psychology at the University of Birmingham and a Chartered Forensic Psychologist. Professor Beech will talk about "Risk Assessment in the 21st Century: Towards an Integrative Model of Risk in Sexual Offending and Norman McFadyen, CBE, Crown Agent who will discuss "The Order for Lifelong

Restriction: Sentencing for Serious Violent Offenders. Plans are also underway for a full programme of Good Practice seminars for 2008-09.

**"Interesting to see how a country like Scotland must face up to big issue of violence in normal and criminal population, to create risk management system and try to work with offenders. Inspiring to see efforts of common cooperation in multi-agency work and to use developed tools in practice."**

*-Training delegate from England/Wales*

Best Value provides a common framework for continuous improvement in public services in Scotland, and is a key foundation of the Scottish Government's Public Service Reform agenda. Accountable Officers appointed by the Principal Accountable Officer for the Scottish Administration (PAO) have a specific responsibility to ensure that arrangements have been made to secure Best Value.

The duty of Best Value in Public Services is as follows:

- To make arrangements to secure continuous improvement in performance whilst maintaining an appropriate balance between quality and cost; and in making those arrangements and securing that balance; and
- To have regard to economy, efficiency, effectiveness, the equal opportunities requirements, and to contribute to the achievement of sustainable development.

There are nine characteristics of Best Value that public service organisations are expected to demonstrate:

- Commitment and Leadership;
- Sound Governance at a Strategic and Operational Level;
- Accountability;
- Sound Management of Resources;
- Responsiveness and Consultation;
- Use of Review and Options Appraisal;

- A Contribution to Sustainable Development;
- Equal Opportunities Arrangements; and
- Joint Working.

The RMA began a Best Value self assessment exercise during the last reporting year. For internal reasons, the Audit was put on hold and is still to be completed. A limited assessment of certain processes was undertaken during the last quarter of this reporting year to ensure that best value principles are being adhered to and adopted. Details of improvements made are listed later in this section. The RMA intends to complete this audit during 2008/09 and will report its findings in the next Annual Report. The aim of the self-assessment is to establish a base level on which to measure the organisation and a starting point on which to build. The RMA has a desire to operate under Best Value principles that will stand up to external scrutiny and understands that by adopting Best Value principles, will positively impact on finance and HR issues.

Don Grubin, Professor of Forensic Psychiatry at Newcastle University and (hon) consultant forensic psychiatrist to Northumberland, Tyne & Wear NHS Trust, was appointed to the Board of the RMA in August 2007, bringing its total membership to eight. Much of his clinical and research work has focused on the assessment and treatment of sexual offenders and Professor Grubin brings a wealth of experience to the post.

The RMA examined its organisational structure in the summer of 2007 and two new posts were established to support the existing work. A Training Officer was appointed in October 2007 to assist in the development and management of the RMA's training programme, ensuring that new best practices processes, systems and procedures are understood, accepted and embedded into practice.

At the same time, a Project Officer was appointed to support the administration of the processes for the Order for Lifelong Restriction.

### Improvements made during 2007-08

New policies have been devised and implemented this year in line with business needs and Best Value principles of continual improvement. New policies include overtime, service standards and career breaks and procedures include new templates and instructions for compiling Board and Committee papers.

The RMA is committed to continuous improvement on the environmental impacts of our business activities. An Environmental Policy and Management System was adopted and implemented in March 2006. Monitoring of progress and recording is in place to ensure compliance with agreed standards to inform the setting of specific, measurable and achievable targets consistent with Scottish Ministerial policies for environmental improvement, protection and sustainability and to review environmental performance on an annual basis. During 2007-08 greater staff awareness of environmental matters in

## Improvements made during 2007-08

Project	Scope	Outcome
Implementation of new contacts database	Working with Scottish Government IT dept to design and install a new fit-for-purpose database	New database now in use and has simplified many administration tasks.
Adjustments to financial procedures to align with recommendations from Internal Audit	Review and amend current procedures, as necessary	Procedures updated
Introduction of an events link on the website to register to receive RMA event flyers	Working with website designers to implement	A total of 33 people have registered and are now on the RMA database
Audit of Blackberry / laptop PC / use	Examining the necessity of laptops and Blackberrys for Board Members and staff	Resulted in four Blackberrys and one laptop no longer required – the RMA was able to cancel the maintenance contracts and save an estimated £1,954 per year
Reduction in costs associated with the hire of equipment at training events	The RMA put forward a business case for the purchase of four standalone laptops for use at RMA training events.	Potential savings of £900 per event.
Review of subscriptions	Review of subscriptions identified a lack of use of LINETS a legal research database.	Subscriptions reduced from 5 per year to 2 per year generating a saving of £1500 per year

supporting our policies and procedures has assisted the RMA in meeting its environmental objectives.

Our first year of environmental performance monitoring highlights our achievements:

- we reduced the carbon footprint on sixteen journeys by utilising video conferencing and saved the RMA approximately £1,000;
- we saved 42 reams of paper, purchasing 213 reams in comparison with 255 for the previous year. This was achieved by increased use of electronic communication methods and double-sided-printing;
- we recycled 85 bags of materials i.e. 39 bags of paper, 17 bags of plastic, 17 bags of cans and 12 bags of confidential waste; and

- we disposed of 323 bags of non-recyclable waste and aim to substantially reduce this figure over the next year.

The RMA reviewed its Corporate literature and saw a need for a set of three leaflets to provide further information on the RMA. These were designed and printed to offer stakeholders the following:

- general information on the RMA, its background and functions;
- service standards outlining what level of service our customers can expect from the RMA when dealing with us by telephone, letter or email; and
- complaints leaflet to alert us when we don't get things right and allow us the opportunity to address any issues

Plans are now underway to publicise and disseminate the leaflets.

The RMA website has evolved with the organisation to become our main source for information for stakeholders. The RMA introduced a number of new features in this reporting year including a What's New section on the Home page, a quicklink area and the facility to register with the RMA to be included in events mailings. During the next financial year the website will expand to include a secure login area with pre training course assessments and modules.

In January 2008, the RMA reviewed its work with Scottish Government ISIS to implement an electronic workflow system. The system was developed for several elements of the Accreditation process as follows:

- New applicants – system now live;
- Renewals – system now live;



- Suspensions – under test;
- Terminations – under test;
- Withdrawals – under test; and
- Risk Management Plan Approval – under development.

The RMA Board and senior management reviewed the project and it was suggested that more suitable and cost effective methods were available in relation to some other areas of the business, such as research and training procurement. There was deemed to be an insufficient volume of requests under Freedom of Information and Human Resource processes to warrant the expense of continuing to include these in the development of the electronic workflow system.

The RMA continues to place a high importance on its staff and each year the corporate training plan focuses on continual professional development and supporting staff to grow within their roles to achieve their full potential. Training needs are identified through the RMA's Annual Appraisal system and training and personal development align with the RMA Business Plan. A full programme of training was undertaken during this reporting year including courses on:

- Microsoft Access;
- Microsoft Excel;
- Time management;
- LSCMI;

- IOSH Accredited Working Safely for Middle Management;
- Project Management and MS Project;
- Introduction to Management; and
- Advanced Workshop on Structured Professional Judgement.

The RMA is a listening organisation and a three-weekly cycle of staff meetings takes place for the Senior Management team to share information and listen to the views of staff. Meetings are held more regularly if required and also within the teams in each department. Planning meetings are held quarterly with all staff to develop strategies to feed into business planning. Reports on the delivery of the business plan are shared with all staff, Board Members and with the Sponsor Department at the Scottish Government. Achievements are continually monitored against the Business Plan and a report on performance against the key projects of the Business Plan and Government objectives are listed in the Management Commentary within the Annual Accounts section of this report.

The RMA encourages feedback at all levels of its work. A dedicated email address was already available for general advice and consultation and a further email was established this year, specifically for events. Both of these are publicised widely through the RMA website and on newsletters, presentations, flyers and at events. It is also possible to email individual staff members, write, telephone or fax for advice at any time. After all events, feedback forms are issued to all attendees

and presentations are posted on the RMA website for those unable to attend. Feedback forms are collated and a report compiled for the use of the Board, senior management and for the future planning of events.

As a public body the RMA is committed to promoting access to information in line with the Freedom of Information (Fol) legislation. The legislative process for listing the RMA as a body subject to the Freedom of Information (Scotland) Act 2002 is ongoing, but it is anticipated that the RMA will become subject to the legislation during the next reporting year. Once the legislative process is complete, the RMA's Publication Scheme will be published. In line with the spirit of the Freedom of Information regime in Scotland, we have made many of our documents and policies available to view or download from our website. Three Fol enquires were received in this reporting year.

# ACCOUNTS MANAGEMENT COMMENTARY

This statement of accounts reports the results of the Risk Management Authority (the Authority) for the year 1 April 2007 to 31 March 2008. It has been prepared in accordance with the Accounts Direction given by the Scottish Ministers in accordance with Section 12 (3) of the Criminal Justice (Scotland) Act 2003.

## Background

### History of the Authority

The Committee on Serious Violent and Sexual Offenders, chaired by Lord MacLean, reported to Scottish Ministers in 2000 and recommended, inter alia, the need for an independent body, whose role would be to ensure that statutory, voluntary and private sector agencies worked together systematically to address the risk posed by serious offenders. After consultation, Scottish Ministers agreed to create a non-departmental public body to fulfil the recommendation of Lord MacLean and his Committee. The Risk Management Authority was established in 2004 by Section 3 of the Criminal Justice (Scotland) Act 2003 (the Act).

### Statutory functions

The RMA's statutory functions are:  
In relation to the assessment and minimisation of risk:

- (i) compile and keep under review information about the provision of services in Scotland;
- (ii) compile and keep under review research and development;
- (iii) promote effective practice; and

(iv) give such advice and make such recommendations to the Scottish Ministers as the Authority considers appropriate.

The Authority may:

(i) carry out, commission or co-ordinate research and publish the results of such research; and

(ii) undertake pilot schemes for the purposes of developing and improving methods.

- Prepare and issue guidelines as to the assessment and minimisation of risk;
- Set and publish standards according to which measures taken in respect of the assessment and minimisation of risk are to be judged;
- Administer the Scheme of Accreditation (SSI 2006 No 190 The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006) made under Section 11(1) of the Act;
- Provide or secure the provision of education and training in relation to the assessment and minimisation of risk for persons and/or manners accredited under the above mentioned scheme;
- Specify and publish the form of Risk Management Plans;

- Approve Risk Management Plans and review the implementation of Risk Management Plans

### Board and senior staff

Appointments to the Board of the RMA are made by Scottish Ministers. During the year an additional Board member was recruited bringing the total currently serving on the RMA Board to eight, one of whom is the Convenor.

**Convenor:** Mr Robert Winter

**Board Members:** Professor Jim McManus, Dr Caroline Logan, Ms Morag Slessor, Mr John McNeill, Mr Peter Withers, Mr Peter Johnston, Professor Don Grubin (w/e August 07)

The Chief Executive is Professor Roisin Hall, who is the Accountable Officer for the RMA.

The RMA currently employs a Director of Business Performance, a Director of Operations and Development, an Implementation Manager, a Development Manager, a Communications Manager, Research, Training, Project, Admin/ Communications and Systems and Policy Officers, a Training Co-ordinator and one administrative assistant.

The Register of Members' interests is available on the RMA's website [www.RMAScotland.gov.uk](http://www.RMAScotland.gov.uk) or from the RMA (tel: **0141 567 3112** e-mail: [info@RMAScotland.gsi.gov.uk](mailto:info@RMAScotland.gsi.gov.uk))

The RMA is financed 100% by Grant-in-Aid from the Scottish Executive Justice Department. The Scottish Ministers are answerable to the Scottish Parliament for the Authority and are responsible for making financial provision to meet the Authority's needs.

#### Performance

Details of the Authority's performance during the reporting year are detailed in the Annual Report. In summary, 2007-08 performance against key work areas (as stated in the Future Developments section of the Annual Accounts for 2006-07) was as follows:

The RMA has close working relationships with a number of Scottish Government departmental teams, working groups and forums in fulfilling different aspects of its statutory functions to address serious offending behaviour. These relate to policy advice and review, standard setting and regulation, development of best practice and training and the establishment of a research evidence base. The RMA has been invited to join and contribute to a significant number of working groups in collaboration with different teams within the Justice, Health and Education departments, and initiatives which they wish to implement.

The RMA has been approached by other jurisdictions to give advice on other organisations' policy and practice with serious offenders.

The RMA is represented on the British Psychological Society (BPS) working party on the assessment of terrorists.

Discussions have been held with the Central Barrington Unit team on their initial plans for

developing risk assessment systems and further support offered.

The RMA has stressed the need to resource psychological and psychiatric risk assessment court reports and to include this in work force planning is in discussions with the Scottish Government Mental Health and Justice directorates, the Scottish Court Service and the Forensic Network.

It is essential that policy and advice are based on evidence of improvements of practice. This requires the RMA to keep abreast of research on current Scottish procedures, the recommendation for and evaluation of new programmes and to draw evidence from developments in other jurisdictions. The dissemination to policy makers and practitioners of the lessons learned will inform changes to interventions and best practice.

#### Providing an Evidence Base

Following the success of Version 1, the RMA published Version 2 of the **Risk Assessment Tools Evaluation Directory (RATED)**. This is a comprehensive evaluation of risk assessment tools and categorises them by usefulness for different purposes and types of offender. **RATED** details the most current and frequently used risk assessment tools, in Scotland, the UK and internationally. **RATED** is designed to be a quick reference source of tools with brief descriptions of their strengths and weaknesses in their applications. **RATED** is also part of the RMA Standards and Guidelines for Risk Assessment for Accredited Assessors undertaking assessments for the High Court when the Court is considering whether to impose and OLR. Almost 1800 copies of Version 2 have now been issued and **RATED** has received

world-wide recognition as being unique in the field of risk assessment.

#### Conducting a Structured Review of the accreditation process and the risk assessment standards and guidelines

Following a review conducted during the reporting year, the RMA has implemented a new accreditation process which is designed to be as supportive and facilitative as possible. Part of this is the removal of the requirement to submit a report converted to the RMA style. In addition, a funded framework to support applicants in reaching the required level of competence via training and mentoring was introduced. This has been most important in the case of deferred candidates, who have had access to fully funded training in risk assessment, court room skills and one-to one mentoring.

Becoming an RMA-accredited risk assessor allows a professional in the field of offender risk assessment and management the opportunity to become involved in a very important, valuable and interesting area of work. They have very specific responsibilities placed upon them by the Court and by virtue of their accredited status. It is very important to the RMA that the accredited assessor group is supported in their work and a range of activities have been put in place to do this. For example, accredited assessors have access to; funding for their continuing professional development, administrative support for risk assessment multidisciplinary meetings; advice in all aspects of the standards and guidelines and peer support, either ad hoc or via quarterly events. With input from the current accredited risk assessors a review of the standards and guidelines used by them in the production

of Risk Assessment Reports has been commenced. However, this has not been completed during the reporting year due to difficulties in accessing the views of the Judges who have made Risk Assessment Orders. Revised standards and guidelines for risk assessment will be put out to consultation in the coming year.

#### Continued Accreditation of Assessors

The RMA has in place a number of initiatives to encourage applicants to apply for accredited status. Quarterly Pre-Accreditation Information Sessions held prior to Good Practice Seminars have been well attended with over 60 people coming along to find out more about the accreditation process and have their questions answered. The RMA website contains background information and relevant forms available to be downloaded. The RMA also encourages interested parties to contact them for an informal meeting or telephone conversation. Funding is now in place to assist applicants in meeting the competences required. Funding for training is also available for the continuing professional development of accredited assessors.

The RMA received a total of 11 applications for Accreditation during this reporting year. Of these:

- three were accredited;
- three declined;
- four deferred; and
- one applicant withdrew.

Of those already accredited prior to this reporting year, three were re-accredited for a further period of three years.

#### Implementation and Awareness raising of the Risk Management Plans Standards and Guidelines

Since the publication of the Standards and Guidelines for Risk Management, the underpinning rationale and principles have been presented to numerous audiences in a number of formats. Initial invitation for feedback via written comments and hosting dedicated local events met with a limited response; and it was decided to adopt a more formative and targeted approach.

Firstly, events were delivered to specific audiences at Forensic Network and Scottish Prison Service events. The principles of the standards and guidelines have also been communicated in numerous conference workshops and seminars around Scotland.

Meaningful dissemination of this publication is recognised to be a gradual process, a pragmatic approach is required, as for many practitioners some of the material will be unfamiliar and training will be required. The CD-Rom 'Assessing and Managing Risk' was developed as an efficient means of providing a grounding in the principles to a large number of practitioners. The training course – 'Developing and Delivering' will provide a more intensive resource, and the pilot version of this package will be subject to consultation with selected delegates at two events in June and July. In addition, RMA staff have worked directly with SPS and CJSW teams to assist in the use of the risk management plan format.

Feedback from all of the above approaches is being collated along with written comments that resulted from the early stage of the consultation. This valuable

feedback will be reflected in the revision of the document.

#### Design and Deliver Risk Assessment and Risk Management Training Modules

The RMA has developed a CD Rom - Assessing and Managing Risk in collaboration with Professor Hazel Kemshall of De Montfort University, for use in Scotland as an essential module in the RMA training strategy. The production of the CD "Assessing and Managing Risk" as a training package has been readily received by Social Work in Scotland and has raised interest from the Scottish Prison Service. Training events have been well attended and in response to demand, more are planned for the future. A total of nine CD Rom training events were held in this reporting year and over 160 first line managers are now trained in its use. The training will contribute to evidence-based practice in the assessment and management of offenders who pose a risk of harm to themselves or others. The objective of the project was to provide a resource that was consistent with the Standards and Guidelines for Risk Management and would serve as a practice manual for MAPPA responsible agencies.

A training module has been run and completed to provide assessors and trainers in Level of Service / Case Management Inventory (LS/CMI) a risk assessment and management tool for offenders. The LSCMI is a case management tool that incorporates the principles of risk, need and responsibility with wide applicability in offender management. A total of 21 delegates attended this course with 12 trainers completing the course successfully.

The RMA ran two courses for the creation of a pool of trainers for the delivery of the training module: The Risk of Serious Harm and its Assessment using HCR-20, RSVP, SARA, B-SAFER and SAM. A third course to complete the training is scheduled.

#### Future Developments

The Annual Report contains details of the on-going work of the Authority and the developments which will take place during the next reporting year (2008-09). During the next reporting year the Authority will aim to deliver high standard public services as a key resource for agencies involved in the risk assessment and management of serious offenders. To achieve this, the key areas of work which the Authority will concentrate on during the next reporting year are:

- foster collaborative working and look to the future on policy objectives such as information sharing and risk management with multi agency partners;
- review and revise the RMA Research and Training Strategy;
- progress further research into the Assessment & Management of Violent Offenders including development of a Risk Assessment Framework Screening Tool for the assessment of violence risk;
- examine the potential to widen the RMA's involvement in a wider group of serious offenders;
- publish Version 2 of the Risk Management Plan and Risk Assessment Standards and Guidelines for Serious and Violent Sexual Offenders;

- conduct a structured and comprehensive review of the Risk Management Plan approval process, involving key stakeholders;
- deliver Structured Professional Judgement practitioner training modules; and
- deliver Risk Assessment Report Writing distance learning.

#### Environmental Matters

The RMA is committed to continuous improvement on the environmental impacts of our business activities. An Environmental Policy and Management System was adopted and implemented in March 2006. Monitoring of progress and recording is in place to ensure compliance with agreed standards to inform the setting of specific, measurable and achievable targets consistent with Scottish Ministerial policies for environmental improvement, protection and sustainability and to review environmental performance on an annual basis. During 2007-08 greater staff awareness of environmental matters in supporting our policies and procedures has assisted the RMA in meeting its environmental objectives.

Our first year of environmental performance monitoring highlights our achievements:

- we reduced the carbon footprint on sixteen journeys by utilising video conferencing and saved the RMA approximately £1,000;
- we saved 42 reams of paper, purchasing 213 reams in comparison with 255 for the previous year. This was achieved by increased use of electronic communication methods and double-sided-printing;

- we recycled 85 bags of materials i.e. 39 bags of paper, 17 bags of plastic, 17 bags of cans and 12 bags of confidential waste; and
- we disposed of 323 bags of non-recyclable waste and aim to substantially reduce this figure over the next year.

#### Financial Results

The accounts for the year ended 31 March 2008 are set out in pages 39 - 41. The Notes to the Accounts on pages 42 - 48 form part of the accounts.

All expenditure during 2007-08 was within agreed budgetary provision. The Authority's budget for 2007-2008 was set at £1,500,000 at the start of the year. In agreement with the sponsor department the budget was reduced to £1,142,000 following revision of the Business Plan and staffing changes impacting on salary costs. The under-spend against budget provision for the year was £261,331, £100,000 of which related to budgetary provision for the development of a Risk Assessment Framework Screening Tool as requested by the Scottish Government. The under-spend also includes £133,906 carried forward to 2008/09 for phased payment in line with contractual agreements for research & training contracts spanning both financial years.

#### Changes in Fixed Assets

There are no changes in fixed assets to report for the year ended 31 March 2008.

#### Post Balance Sheet Date Events

There are no post balance sheet date events to report for the year ended 31 March 2008.

## Public Interest Reporting

#### Charitable Donations

No charitable donations were made in the year ended 31 March 2008.

#### Payment Performance

The Authority's policy is to pay all invoices, not in dispute, within 30 days or the agreed contractual terms if otherwise specified. The Authority aims to pay 100 per cent of invoices, including disputed invoices once the dispute has been settled, on time in these terms. During the year ended 31 March 2008 the Authority paid 96% of all invoices received within the terms of its payment policy an increase of 4% from the previous year. The Authority observes the principles of the Better Payment Procedure Code.

#### Equal Opportunities

The Authority is committed to ensuring equal opportunities for all employees and potential employees. The Authority has an equal opportunities policy in place.

#### People with Disabilities

The Authority's equal opportunities policy aims to ensure that there is no employment discrimination on the grounds of disability and that access to employment and career development within the Authority is based solely on ability, qualifications and suitability for the work.

#### Staff Involvement and Development

The Authority is committed to training its staff and encouraging them to identify and attend developmental and further education training where applicable. The Authority

openly encourages staff involvement in the business planning processes and the on-going development of the Authority's work. A corporate training strategy and individual personal development plans have been fully implemented during 2007-08 for the on-going development of all staff. The Authority holds a regular cycle of staff team meetings. In addition staff have formally met with the RMA Board on several occasions.

#### Pension Costs

All staff of the Authority are eligible to become members of the civil service pension arrangements (see the Remuneration Report contained in these accounts for further detail).

#### Auditors

The accounts of the Authority are audited by an auditor appointed by the Auditor General for Scotland in accordance with Section 13 (c) of the Criminal Justice (Scotland) Act 2003.

#### Disclosure of information to auditors

As Accountable Officer, as far as I am aware, there is no relevant audit information of which the Authority's auditors are unaware. I have taken all reasonable steps that ought to have been taken to make myself aware of any relevant audit information and to establish that the Authority's auditors were aware of that information.

*Roisin Hall.*

**Roisin Hall**  
Chief Executive  
16 June 2008



# REMUNERATION REPORT

## The Convener and Board Members

The Convener and Board Members of the Authority are paid an annual salary which is set by Scottish Ministers. The salary rate is normally increased annually in line with the percentage uplift agreed by the Scottish Executive Senior Salary Review Board.

## Chief Executive

The Authority's Chief Executive was appointed in December 2004. As part of that appointment process and in conjunction with the Scottish Executive, the Board of the Authority agreed a salary range for the Chief Executive and agreed a starting salary within that range. The Board further agreed that the Chief Executive's pay would be reviewed annually and any pay award for the Chief Executive would be dependent on performance. Pay awards for the Chief Executive must be approved by Scottish Ministers. The Chief Executive's performance is assessed by the Convener of the Authority using a system of annual appraisal and the performance conditions are based on achievement of the Authority's annual business plan and corporate plan objectives.

The Authority has in place a Remuneration Committee, current membership of the Committee is Mr Robert Winter, Mr John McNeill and Mr Peter Johnston. The Committee's function is to make recommendations to the Board of the Authority and the Scottish Ministers on a range of pay policy matters including the level of annual pay award for the Chief Executive.

## Directors

The remuneration for the Authority's Directors is set by the Board of the Authority subject

to Scottish Ministers' approval. As part of the appointment process and in conjunction with the Scottish Executive, the Board of the Authority agreed salary ranges for the Directors and agreed starting salaries within that range. The Directors' salaries are reviewed annually as part of the Authority's pay remit process for all staff of the Authority, with the exception of the Chief Executive. Pay awards for the Directors are dependent on performance. The Directors' performance is assessed by the Chief Executive using a system of annual appraisal and the performance conditions are based on achievement of personal objectives agreed for each Director based on the Authority's annual business plan and corporate plan objectives.

## Service Contracts

Staff appointments to the Authority are based on merit and on the basis of fair and open competition. The Chief Executive and Directors are permanent appointments with a 3 month notice period. There are no early termination payment clauses within the contracts.

The Chief Executive and Directors' posts are pensionable under the civil service pension arrangements. The Convener and Board Member appointments are not pensionable.

The Convener and Board Members are public appointments made by Scottish Ministers under the procedures set by the Office of the Commissioner for Public Appointments. The Convener was appointed for a term of 3 years which ended 31 August 2007, however the appointment was subsequently renewed to 31 August

2008. The Members are appointed for terms of 4 years which end on 31 August 2008 for three Members, ends on 6 July 2009 for one Member, ends on 30 September 2010 for two Members and 12 August 2011 for one Member.

## Remuneration and Pensions

The following sections provide details of the remuneration and pension interests of the Convener, Board Members, Chief Executive and Directors.

## Remuneration

No benefits in kind were made to the Convener, Board Members, Chief Executive or Directors.

The following tables provide a breakdown of executive and non-executive directors' remuneration in 2006-07 and 2007-08 and have been audited by the Authority's auditors.

	2007-08 Salary (£)	2006-07 Salary (£)
<b>Mr Robert Winter, Convener</b>	8,144	7,985
<b>Professor Jim McManus</b>	5,658	5,548
<b>Mr John McNeill</b>	5,658	5,548
<b>Dr Caroline Logan</b>	565	5,548
<b>Ms Morag Slessor</b>	5,658	5,548
<b>Mr Peter Johnston</b>	5,658	5,548
<b>Mr Peter Withers</b>	5,658	5,548
<b>Professor Don Grubin (from 12 August 2007)</b>	3,590	-
<b>Professor Roisin Hall, Chief Executive</b>	63,965	61,950
<b>Ms Yvonne Gailey (from 18 July 2006)</b>	46,501	31,328
<b>Mrs Jackie Bergen (Career break from Jan to June 08)</b>	46,419*	41,451
<b>Mr Ian Todd (Fixed Contract 16 Nov – Aug 08)</b>	15,923	-

\* Includes retrospective payment for post re-grading

Pension Benefits	Accrued pension at age 60 as at 31/3/08 and related lump sum	Real increase in pension and related lump sum at age 60	CETV at 31/3/08	CETV at 31/3/07	Real increase in CETV
Professor Roisin Hall	15-20 40-45 (lump sum)	0-2.5 No increase (lump sum)	478	445	4
Mrs Jackie Bergen	5-10 25-30 (lump sum)	0-2.5 25-50 (lump sum)	127	100	17
Ms Yvonne Gailey	0-5 n/a (lump sum)	0-2.5 n/a (lump sum)	23	8	12
Mr Ian Todd	0-2.5 n/a (lump sum)	0-2.5 n/a (lump sum)	5	-	No Increase

# STATEMENT OF ACCOUNTABLE OFFICER'S RESPONSIBILITIES

## Salary

'Salary' includes gross salary; performance pay or bonuses; overtime; reserved rights to London weighting or London allowances; recruitment and retention allowances; private office allowances and any other allowance to the extent that it is subject to UK taxation.

## Benefits in kind

None payable in the year.

## Pensions

Pension benefits are provided through the Civil Service Pension arrangements. Employees of the Authority may be in one of three statutory based 'final salary' defined benefit schemes (classic, premium, and classic plus). The Schemes are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions payable under classic, premium, and classic plus are increased annually in line with changes in the Retail Prices Index. Staff could choose between membership of premium or joining a good quality 'money purchase' stakeholder arrangement with a significant employer contribution (partnership pension account).

Employee contributions are set at the rate of 1.5% of pensionable earnings for classic and 3.5% for premium and classic plus. Benefits in classic accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum (but members may give up (commute) some of their pension to provide a lump sum). Classic

plus is essentially a variation of premium, but with benefits in respect of service before 1 October 2002 calculated broadly as per classic.

Further details about the Civil Service Pension arrangements can be found at the website [www.civilservice-pensions.gov.uk](http://www.civilservice-pensions.gov.uk)

## Cash Equivalent Transfer Values

A Cash Equivalent Transfer Value (CETV) is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The CETV figures and the other pension details, include the value of any pension benefit in another scheme or arrangement which the individual has transferred to the Civil Service Pension arrangements and for which the CS Vote has received a transfer payment commensurate to the additional pension liabilities being assumed. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years of pension service in the scheme at their own cost. CETVs are calculated within the guidelines and

framework prescribed by the Institute and Faculty of Actuaries.

## Real increase in CETV

This reflects the increase in CETV effectively funded by the employer. It takes account of the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period.



**Roisin Hall**  
Chief Executive  
16 June 2008

Under paragraph 13 of the Criminal Justice (Scotland) Act 2003, the Scottish Ministers have directed the Risk Management Authority to prepare for each financial year a statement of accounts in the form and on the basis set out in the Accounts Direction. The accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of the Risk Management Authority and of its income and expenditure, recognised gains and losses and cash flows for the financial year.

In preparing the accounts the Accountable Officer is required to comply with the requirements of the Government Financial Reporting Manual and in particular to:

- observe the Accounts Direction issued by the Scottish Ministers, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- make judgements and estimates on a reasonable basis;
- state whether applicable accounting standards as set out in the Financial Reporting Manual have been followed, and disclose and explain any material departures in the financial statements; and
- prepare the financial statements on a going concern basis.

The Accountable Officer for the Scottish Executive Justice Department has designated the Authority's Chief Executive, Professor Roisin Hall, as the Accountable Officer for the Risk Management Authority.

Her responsibilities as Accountable Officer, including her responsibility for the propriety and regularity of the public finances for which the Accountable Officer is answerable, for the keeping of proper records and for safeguarding the Authority's assets, as set out in the Memorandum to Accountable Officers of Other Public Bodies.

# STATEMENT ON INTERNAL CONTROL

## Scope of responsibility

As Accountable Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of the Risk Management Authority's policies, aims and objectives, whilst safeguarding the public funds and the Authority's assets for which I am personally responsible, in accordance with the responsibilities assigned to me in the Management Statement and Financial Memorandum.

As Accountable Officer I have specific responsibility in relation to:

- planning, performance management and monitoring
- advising the Authority
- managing risk and resources
- accounting for the Authority's activities

## The purpose of the system of internal control

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

The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Authority's policies, aims and objectives; to evaluate the nature and extent of those risks and to manage them efficiently, effectively and economically. This process has been in place for the year ended 31 March 2008 and up to the date of approval of the annual report and accounts and accords with Scottish Executive guidance.

## Risk and control framework

All bodies subject to the requirements of the SPFM must operate a risk management

strategy in accordance with relevant guidance issued by the Scottish Ministers. The general principles for a successful risk management strategy are set out in the SPFM.

The Authority's risk management strategy specifies the roles of the Board, the Audit Committee and the Chief Executive and details the process of risk identification in relation to the Authority's objectives. The strategy also details the process of risk categorisation and the approval and review structure for the Risk Register by the Audit Committee and Board.

To ensure that risk management is embedded into the processes of the Authority the risk management strategy requires that the Risk Register is reviewed regularly with all staff as a standing item at the regular staff meetings; that the Register is reviewed at least every 3 months and prior to each Audit Committee meeting; and that the Register is reviewed in conjunction with the preparation of the Corporate Plan and the annual Business Plan.

More generally, the Authority is committed to a process of continuous development and securing Best Value. We continue to develop our systems, taking account of available best practice information in this area. We will ensure effective monitoring and review arrangements for our systems to ensure continuous development and Best Value for the future.

## Review of effectiveness

As Accountable Officer, I also have responsibility for reviewing the effectiveness of the system of internal control. My review is informed by:

- The senior managers within the Authority who have responsibility for the development and maintenance of the internal control framework;
- The work of the internal auditors, who

submit to me and the Audit Committee reports which include the Head of Internal Audit's independent and objective opinion on the adequacy and effectiveness of the Authority's systems of internal control together with recommendations for improvement;

- Comments made by external auditors in their management letters and other reports;
- A risk register for the Authority.

The internal control of the Authority is reviewed on an ongoing basis through a programme of planned audits performed by the internal auditors with reports being presented to the Accountable Officer and the Audit Committee. Action plans are in place to correct any weaknesses identified and these are monitored by the Audit Committee.

Certificates of Assurance are provided by the Director of Business Performance and Head of Internal Audit to support my review of the system of internal control.

This is supplemented by the review performed by external audit whose findings will be reported to the Chief Executive, the Audit Committee and the Board for corrective action as appropriate.

Appropriate action is in place to address any weaknesses identified and to ensure the continuous improvement of the system.



**Roisin Hall**  
Chief Executive  
16 June 2008

# INDEPENDENT AUDITORS' REPORT

## Independent auditors' report to the members of the Risk Management Authority, the Auditor General for Scotland and the Scottish Parliament

We have audited the financial statements of the Risk Management Authority for the year ended 31 March 2008 under the Criminal Justice (Scotland) Act 2003. These comprise the Operating Cost Statement, the Balance Sheet, the Cash Flow Statement, and the related notes. These financial statements have been prepared under the accounting policies set out within them. We have also audited the information in the Remuneration Report that is described in that report as having been audited.

This report is made solely to the Risk Management Authority and to the Auditor General for Scotland in accordance with sections 21 and 22 of the Public Finance and Accountability (Scotland) Act 2000. Our audit work has been undertaken so that we might state to those two parties those matters we are required to state to them in an auditor's report and for no other purpose. In accordance with the Code of Audit Practice approved by the Auditor General for Scotland, this report is also made to the Scottish Parliament, as a body. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Risk Management Authority and the Auditor General for Scotland, for this report, or the opinions we have formed.

## Respective responsibilities of the Authority, Accountable Officer and auditors

The Authority and Accountable Officer are responsible for preparing the Annual Report, which includes the Remuneration Report, and the financial statements in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers. The Accountable

Officer is also responsible for ensuring the regularity of expenditure and receipts. These responsibilities are set out in the Statement of Accountable Officer's Responsibilities.

Our responsibility is to audit the financial statements and the part of the Remuneration Report to be audited in accordance with relevant legal and regulatory requirements and with International Standards on Auditing (UK and Ireland) as required by the Code of Audit Practice approved by the Auditor General for Scotland.

We report to you our opinion as to whether the financial statements give a true and fair view and whether the financial statements and the part of the Remuneration Report to be audited have been properly prepared in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers. We report to you whether, in our opinion, the information which comprises the Management Commentary included with the Annual Report, is consistent with the financial statements. We also report whether in all material respects the expenditure and receipts shown in the financial statements were incurred or applied in accordance with any applicable enactments and guidance issued by the Scottish Ministers.

In addition, we report to you if, in our opinion, the body has not kept proper accounting records, if we have not received all the information and explanations we require for our audit, or if information specified by relevant authorities regarding remuneration and other transactions is not disclosed.

We review whether the Statement on Internal Control reflects the body's compliance with the Scottish Government's guidance, and we report if, in our opinion, it does not. We are not required to consider whether this statement covers all risks and controls, or form an opinion on the effectiveness of the body's corporate governance procedures or its risk and control procedures.

We read the other information contained in the Annual Report and consider whether it is consistent with the audited financial statements. This other information comprises only the convenor's statement, organisational chart, introduction, chapters one to seven, and the part of the remuneration report not audited. We consider the implications for our report if we become aware of any apparent misstatements or material inconsistencies with the financial statements. Our responsibilities do not extend to any other information.

## Basis of audit opinion

We conducted our audit in accordance with the Public Finance and Accountability (Scotland) Act 2000 and International Standards on Auditing (UK and Ireland) issued by the Auditing Practices Board as required by the Code of Audit Practice approved by the Auditor General for Scotland. An audit includes examination, on a test basis, of evidence relevant to the amounts, disclosures and regularity of expenditure and receipts included in the financial statements and the part of the Remuneration Report to be audited. It also includes an assessment of the significant estimates and judgements made by the Authority and Accountable Officer in the preparation of the financial statements, and of whether the accounting policies are most appropriate to the body's circumstances, consistently applied and adequately disclosed.



# OPERATING COST STATEMENT

For the year ended 31 March 2008

Expenditure	Notes	2007-08 £'000	2006-07 restated £'000
Staff Costs	3	620	525
Depreciation	6	15	15
Other Operating Costs	4	761	402
Notional Costs	5	(4)	(10)
<b>Net operating cost</b>		<b>1,392</b>	<b>932</b>

The results for the year derive from the ordinary activities of RMA, all of which are continuing.

There were no other gains and losses for the year other than those shown above.

## Independent auditors' report to the members of the Risk Management Authority, the Auditor General for Scotland and the Scottish Parliament (continued)

We planned and performed our audit so as to obtain all the information and explanations which we considered necessary in order to provide us with sufficient evidence to give reasonable assurance that the financial statements and the part of the Remuneration Report to be audited are free from material misstatement, whether caused by fraud or error, and that in all material respects the expenditure and receipts shown in the financial statements were incurred or applied in accordance with any applicable enactments and guidance issued by the Scottish Ministers. In forming our opinion we also evaluated the overall adequacy of the presentation of information in the financial statements and the part of the Remuneration Report to be audited.

### Opinions

Financial statements

In our opinion

- the financial statements give a true and fair view, in accordance with Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers, of the state of affairs of the body as at 31 March 2008 and of its net operating cost and cash flows for the year then ended;
- the financial statements and the part of the Remuneration Report to be audited have been properly prepared in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers; and

- information which comprises the Management Commentary included with the Annual Report is consistent with the financial statements.

Regularity

In our opinion in all material respects the expenditure and receipts shown in the financial statements were incurred or applied in accordance with any applicable enactments and guidance issued by the Scottish Ministers.

KPMG LLP  
Chartered Accountants  
Registered Auditor

16 June 2008  
191 West George Street  
Glasgow  
G2 2LF

# BALANCE SHEET

As at 31 March 2008

	Notes	2008 £'000	2007 restated £'000
<b>Fixed Assets</b>			
Tangible Fixed Assets	6	135	52
<b>Current Assets</b>			
Debtors	7	4	1
Cash and Bank	8	310	517
		<b>314</b>	<b>518</b>
<b>Creditors: Amounts falling due within one year</b>			
Creditors	9	<u>219</u>	<u>218</u>
<b>Net current assets/(liabilities)</b>		<b>95</b>	<b>300</b>
<b>Total assets less current liabilities</b>		<b>230</b>	<b>352</b>
<b>Financed By:</b>			
General Fund	10	133	<u>352</u>
Deferred Government Grant	10	<u>97</u>	-
		<b>230</b>	<b>352</b>

Signed on behalf of the Authority

*Roisin Hall.*

**Roisin Hall**

Chief Executive  
16 June 2008

# CASH FLOW STATEMENT

For the year ended 31 March 2008

Cash flow statement	Notes	2007-08 £'000	2006-07 restated £'000
Net cash (outflow)/ inflow from operating activities		(206)	110
Capital Expenditure			
Payments to acquire tangible fixed assets	6	(98)	-
<i>Financing</i>			
Capital grant received		97	-
<b>(Decrease)/Increase in cash</b>		<b>(207)</b>	<b>110</b>
<b>Reconciliation of net operating cost to net cash inflow from operating activities</b>			
<b>Net operating cost</b>		(1,392)	(932)
Grant in Aid received		1,177	1,217
Notional costs	5	(4)	(10)
Depreciation	6	15	15
Decrease/(Increase) in Debtors	7	(3)	(1)
Increase/(Decrease) in Creditors	9	1	(179)
<b>Net cash (outflow)/inflow from operating activities</b>		<b>(206)</b>	<b>110</b>

# NOTES TO THE ACCOUNTS

For the year ended 31 March 2008

## 1. Accounting policies

### (a) Accounting Convention

The accounts are prepared under the historical cost convention

The Accounts meet the requirements of the Government Financial Reporting Manual and applicable accounting standards.

### (b) Changes in Accounting Policy

For the financial year ending 31 March 2008, the Financial Reporting Manual allows for certain short life assets to be held at historic cost. RMA, in line with guidance from the Scottish Government, has adopted a policy of recording fixed assets at historic cost, depreciated over the useful life of the asset. This is a change from the previous policy of revaluing assets in line with appropriate indices, and the fixed asset figures have been restated accordingly.

### (c) Depreciation

The threshold for capitalisation of Fixed Assets is £1,000. Fixed Assets are depreciated at rates calculated to write them down to estimated residual value on a straight line basis over their estimated useful lives as follows:

<b>Leasehold Improvements</b>	over 10yrs
<b>Equipment</b>	over 5yrs
<b>Information Technology</b>	over 3yrs
<b>Software</b>	over 3yrs

### (d) Government Grants

Most of the expenditure of the RMA is met from funds advanced by the Scottish Government within an approved allocation. Cash drawn down to fund expenditure within this approved allocation is credited to the general fund. All income that is not classed as funding is recognised in the period in which it is receivable. Funding for the acquisition of general fixed assets received from the Scottish Government is credited to the general fund. Funding received from any source for the acquisition of specific assets is credited to the government grant reserve and released to the operating cost statement over the life of the asset.

### (e) Operating Leases

Rentals payable under operating leases are charged to the revenue account over the term of the lease.

## 2. Prior Year Adjustment

For the financial year ending 31 March 2008, the RMA have changed the accounting policy for the revaluation of fixed assets, adopting a new policy of carrying all fixed assets at depreciated historic cost per note 1(b) to the accounts. Accordingly, the opening balances of fixed assets have been restated, and a prior year adjustment has been recognised to reflect the change. The impact of the adjustment of these figures nets to zero, but there is a small impact on the cost elements of the three categories of fixed assets.

The following table identifies all balances restated in these financial statements:

Description	Note	Reported in 2006-07 £'000	Adjustment £'000	Restated £'000
Fixed Assets, cost at 31 March 2007				
Leasehold Improvements	6	40	(2)	38
Office Equipment	6	27	1	28
IT Systems	6	15	1	16
Revaluation of fixed assets				
Leasehold Improvements	6	(2)	2	-
Office Equipment	6	1	(1)	-
IT Systems	6	1	(1)	-
Net operating costs		1,392	0	1,392
General Fund at 31 March 2007	10	352	0	352

### 3. Staff Costs

	2007-08 £'000	2006-07 £'000
<b>Authority Members</b>		
Salary	43	35
Social Security Costs	1	1
<b>Total</b>	<b>44</b>	<b>36</b>
<b>Administrative staff</b>		
Wages and salaries	432	360
Social Security Costs	31	30
Pension costs	81	70
Agency staff	14	9
Inward Secondment from Scottish Executive	-	12
Inward Secondment from Strathclyde Police	18	8
Total Administrative Staff	<b>576</b>	<b>489</b>
<b>Total Staff Costs</b>	<b>620</b>	<b>525</b>
<b>Average number of employees during the year:</b>		
	<b>No.</b>	<b>No.</b>
Authority Members	6	6
Staff	12	12

### 4. Other Operating Costs

	2007-08 £'000	2006-07 £'000
Accommodation	57	53
Office equipment and furniture	5	5
Research and consultancy	181	125
IT Support	23	24
Training	24	44
Legal Fees & Expenses	45	31
Supplies & Services	11	13
Stationery	3	5
Advertising	23	25
Catering and Hospitality	4	3
Expenses and Travel	23	23
Other Office Costs	64	33
Internal Audit Fee	9	8
External Audit Fee	8	10
Practitioner training	281	-
<b>Total</b>	<b>761</b>	<b>402</b>

### 5. Notional Costs

In compliance with the Financial Reporting Manual the accounts reflect the notional cost of capital charge. (OPG balances are exempt from capital charges.)

	2007-08 £'000	2006-07 £'000
Cost of Capital Charge at 3.5%	(4)	(10)

#### 6. Fixed Assets

	Leasehold Improvements £'000	Office Equipment £'000	IT Systems £'000	Software £'000	Total £'000
<b>Cost</b>					
Balance at 1 April 2007 restated	38	28	16	-	82
Additions	-	1	-	97	98
<b>Balance at 31 March 2008</b>	<b>38</b>	<b>29</b>	<b>16</b>	<b>97</b>	<b>180</b>
<b>Depreciation</b>					
Balance at 1 April 2007	8	12	10	-	30
Charge for year	4	6	5	-	15
<b>Balance at 31 March 2008</b>	<b>12</b>	<b>18</b>	<b>15</b>	<b>-</b>	<b>45</b>
<b>NBV at 31 March 2008</b>					
NBV at 31 March 2007	32	15	5	-	52

#### 7. Debtors

	2008 £'000	2007 £'000
Other debtors	4	1

#### 8. Cash and Bank

	2008 £'000	2007 £'000
Balance at 1 April 2007	517	407
Movement	(207)	110
<b>Balance at 31 March 2008</b>	<b>310</b>	<b>517</b>
<b>The following balances at 31 March are held at:</b>		
Office of HM Paymaster General	310	517
Commercial banks	-	-
	<b>310</b>	<b>517</b>

Balances held at the Office of HM Paymaster General are within the government's financing arrangements and are not interest bearing.

#### 9. Creditors due within one year

	2008 £'000	2007 £'000
Trade Creditors	-	54
Other Creditors	35	-
Accruals	184	164
<b>Total</b>	<b>219</b>	<b>218</b>

#### 10. Reconciliation of Movements on Government Funds

	2007-08 £'000	2006-07 £'000
<b>General Fund</b>		
Balance at 1 April as previously reported	352	77
Prior year adjustment	-	-
<b>Restated balance at 1 April</b>	<b>352</b>	<b>77</b>
Net operating cost	(1,392)	(932)
Grant in Aid received	1,177	1,217
Notional Costs	(4)	(10)
<b>Balance at 31 March 08</b>	<b>133</b>	<b>352</b>
<b>Deferred Government Grant</b>		
Balance at 1 April	-	-
Funding	97	-
<b>Balance at 31 March</b>	<b>97</b>	<b>-</b>





**RISK MANAGEMENT AUTHORITY**

**DIRECTION BY THE SCOTTISH MINISTERS**

1. The Scottish Ministers, in pursuance of Section 12(3) of the Criminal Justice (Scotland) Act 2003, hereby give the following direction in respect of the duty set out in Section 13 of the Criminal Justice (Scotland) Act 2003.
2. The statement of accounts for the financial year ended 31 March 2006, and subsequent years, shall comply with the accounting principles and disclosure requirements of the edition of the Government Financial Reporting Manual (FReM) which is in force for the year for which the statement of accounts are prepared.
3. The accounts shall be prepared so as to give a true and fair view of the income and expenditure and cash flows for the financial year, and of the state of affairs as at the end of the financial year.
4. Additional disclosure requirements regarding the financial period ended 31 March 2005 are set out in Schedule 1 attached.
5. This direction shall be reproduced as an appendix to the statement of accounts.

**11. Related Party Transactions**

The Scottish Government Justice Department is the sponsor department of the Risk Management Authority. The Scottish Government Justice Department is regarded as a related party with which there have been various material transactions during the year.

None of the Authority members or key managerial staff has undertaken any material transactions with the Risk Management Authority during the year.

**12. Capital Commitments and Contingent Liabilities**

The operating lease contains provision to return the premises occupied by the Authority to the same condition as when the lease was entered upon expiry of the lease. The costs for completing this dilapidation are not yet known and so no provision for these costs have been made in these financial statements.

**13. Commitments under Operating Leases**

	31 March 2008 £'000	31 March 2007 £'000
Expiring between 2 and 5 years	38	38

Payments due under operating leases relate to the lease of premises.

A member of the staff of the Scottish Ministers

Dated 10 February 2006

# GLOSSARY

**ACPOS** Association of Chief Police Officers in Scotland

**ADSW** Association of Directors of Social Work

**Best Value** Provides a common framework for continuous improvement in public services in Scotland

**B-SAFER** Brief Spousal Assault Form for Evaluation of Risk (risk assessment tool)

**BPS** British Psychological Society

**CAPP** Comprehensive Assessment of Psychopathic Personality (risk assessment tool)

**CETV** Cash Equivalent Transfer Value

**CJA** Community Justice Authority

**Criminal justice system** – A general term referring to the various authorities involved in the investigation of crime and the legal proceedings and punishments that follow.

**CS** Civil Service

**Dangerous offender** A person who is likely to cause members of the public serious harm.

**FoI** Freedom of Information

**FRAB** Financial Reporting Advisory Board

**FRem** Government's Financial Reporting Manual

**HCR 20** Historical Clinical Risk – 20 (risk assessment tool)

**High risk offender** An offender posing a significant risk of causing personal harm to members of the public.

**ICM** Integrated Case Management

**IPDE** International Personality Disorder Examination (risk assessment tool)

**ISIS** Scottish Executive Information Systems and Information Services Division

**LSCMI** Level of Service Case Management Inventory

**LSI-R** Level of Service Inventory

**MAPPA** Multi-Agency Public Protection Arrangements

**MHS** Multi Health Systems

**NABOM** National Advisory Body on Offender Management

**NOMS** National Offender Management Service

**NOTA** National Organisation for the Treatment of Abusers

**OLR** Order for Lifelong Restriction – a sentence introduced in June 2006 (in Scotland) that provides for the lifelong supervision of high risk violent and sexual offenders and will allow for a greater degree of intensive supervision than is the current norm.

**PCL-R** Psychopathy Checklist – Revised (risk assessment tool)

**PCL:YV** Psychopathy Checklist – Youth Version

**Prince 2** Project management method

**PRISM** Provision of a Dynamic Risk Assessment Tool

**RAO** Risk Assessment Order. Order which will be made by the court, where an offender convicted on indictment may present a substantial and continuing risk to public safety.

**RAR** Risk Assessment Report - will be prepared by an RMA accredited risk assessor to inform the High Court's judgement on whether an Order for Lifelong Restriction should be imposed.

**RATED** Risk Assessment Tools Evaluation Directory

**Registered Sex Offender** is one who, having been convicted, cautioned, finally warned or served a sentence of imprisonment for relevant sex offences since 1997 qualifies to be included on the Sex Offender Register.

**Risk of serious harm** is interpreted as death or damage which is life threatening and /or traumatic and from which recovery is usually difficult or incomplete.

**RM2000** Risk Matrix 2000 (risk assessment tool)

**RMA** Risk Management Authority

**RMO** Resident Medical Officer

**RMP** Risk Management Plan – is made as a result of an Order for Lifelong Restriction being imposed on an offender. The RMP sets out an assessment of risk and the measures to be taken for the minimisation of risk and how such measures are to be co-ordinated.

**RMS** Risk Management System

**RSO** Registered Sex Offender

**RSVP** Risk of Sexual Violence Protocol (risk assessment tool)

**SAM** Risk Assessment and Management of Stalkers (risk assessment tool)

**SA07** Stable/Acute 2007 - Management system for sex offenders in the community

**SARA** Spousal Assault Risk Assessment Guide (risk assessment tool)

**SARN** Structured Assessment of Risk and Needs (risk assessment tool)

**SAVRY** Structured Assessment of Violence Risk in Youth (risk assessment tool)

**SE** Scottish Executive

**SORAM** Sex Offender Risk Assessment and Management Group

**SPFM** Scottish Public Finance Manual

**VISOR** Violent and Sex Offender Register



Risk Management Authority  
St James House  
25 St James Street  
Paisley

PA3 2HQ

tel: 0141 567 3112

fax: 0141 567 3111

[www.RMAScotland.gov.uk](http://www.RMAScotland.gov.uk)