

Annual Report

2009/10

Working towards a Safer Scotland



RMA

Risk Management Authority

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Convener's Foreword



I am delighted to present the Annual Report of the Risk Management Authority (the RMA), which sets out the work and performance of the Authority during 2009-10.

The RMA is a non-departmental public body (NDBP) funded by the Scottish Government and sponsored by the Criminal Justice and Parole Division of the Justice Directorate. This

Annual Report provides evidence of our contribution to the Government's national objective of a safer and stronger Scotland and charts the progress made against our key targets.

Over the year work has continued apace on our key projects and, in partnership with stakeholders, we have made significant progress in the development of risk management standards and practice.

The RMA has particular responsibility for the governance of processes associated with the assessment and management of the risk to the public at large presented by serious violent and sexual offenders considered for or subject to an Order for Lifelong Restriction.

This year, five individuals with appropriate expertise in risk assessment were accredited by the RMA as assessors and thereby authorised to undertake the preparation of risk assessment reports for the High Court. Four existing assessors were accredited for a further period, bringing the total number to fifteen. During this year the RMA approved twenty nine risk management plans prepared by the Scottish Prison Service in relation to individuals subject to Orders for Lifelong Restriction, and reviewed the implementation of nine. This volume of work will continue to rise year on year as more Orders for Lifelong Restriction are imposed, and the efficient governance of this process is testament to the hard work of our committee members and staff.

There has been growing recognition of the benefits that standards can bring to the wider field of offender risk management. The RMA has been developing a standards based approach named FRAME, a Framework for Risk Assessment, Management and Evaluation, that has now been embraced as a multi-agency initiative co-sponsored by the Scottish Government. FRAME will promote a consistent shared approach to purposeful, proportionate and meaningful risk practice.

In addition to these overarching tasks, the RMA supports national initiatives to improve risk practice. For example this year we have conducted the first stages of a pilot study of the Level of Service Case Management Inventory, and initiated an examination of the use of the Stable and Acute 2007 (SA07) risk assessment tools.

Through all those activities the RMA aims to promote and support excellent professional practice in assessing and managing the risk presented by violent and sexual offenders. The field of risk management is relatively young and ever evolving and we recognise the need for continuous learning and improvement.

Looking forward, our Business Plan for 2010-11 and Corporate Plan for 2010-13 illustrate the structure of our future activities; I believe these plans put the RMA at the heart of a comprehensive multi-agency approach to risk management, which in turn provides a sound basis for wider aspects of criminal justice services.

2009-10 was a year of positive change and internal restructuring for the RMA and we now look forward to a further year of effective delivery to the public.

A handwritten signature in black ink, appearing to read 'Peter W Johnston'. The signature is fluid and cursive, with a long horizontal stroke at the end.

Peter W Johnston
Convener
10/02/2011

“Looking forward, our Business Plan for 2010-11 and Corporate Plan for 2010-13 illustrate the structure of our future activities; I believe these plans put the RMA at the heart of a comprehensive multi-agency approach to risk management, which in turn provides a sound basis for wider aspects of criminal justice services”.

Peter W Johnston

Working towards a Safer Scotland



In practice, the RMA supports the work undertaken by statutory, voluntary and private organisations to advance standards of effective and robust risk management practice. The Authority's independent status allows for a fair and objective provision of service to the Scottish public.

Working towards a Safer Scotland

Introduction

The Role of the Risk Management Authority

The Risk Management Authority is an independent Non-Departmental Public Body (NDPB)¹ established in 2005, under the Criminal Justice (Scotland) Act 2003. Sections 3 to 13 of the Act outline the statutory duties of the Authority. These were developed in response to recommendations to Scottish Ministers from the Committee on Serious Violent and Sexual Offenders in 2000 (chaired by Lord MacLean). The duties outlined focus on protecting the public by ensuring that robust and effective management practices are in place to reduce the risk of serious harm posed by violent and sexual offenders. Within this remit, the Risk Management Authority also has specific responsibility to administer and oversee the standard setting, accreditation and approval processes supporting the Order for Lifelong Restriction (OLR). This sentence pertains to those who pose the highest level of risk to the community and involves a rigorous programme of lifetime risk management² in cases where the High Court determines that the offender

“if at liberty, will seriously endanger the lives, or physical or psychological well-being, of members of the public at large”.

(Section 210E of the Criminal Justice (Scotland) Act 1995)

In practice, the Risk Management Authority is tasked with supporting the work undertaken by statutory, voluntary and private organisations to advance standards of effective and robust risk management practice. The Authority’s independent status allows for a fair and objective provision of service to the Scottish public.



¹ A public organisation that provides a service independently from the Government

² For further information, including OLRs, please see our FAQs at www.rmascotland.gsi.gov.uk/faq-s

Statutory function

A core statutory function of the Risk Management Authority is to promote effective practice in relation to the assessment and minimisation of risk, as laid out the Criminal Justice (Scotland) Act 2003. Communicating best practice is at the core of the Authority's work; drawing evidence and information from agencies both nationally and internationally to improve risk assessment and risk management of offenders through a strong evidence base.

The Risk Management Authority's statutory functions are:

1. Policy and Research³

In relation to the assessment and minimisation of risk, the Risk Management Authority is to:

- 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
- iv. Give such advice and make such recommendations to the Scottish Ministers as it considers appropriate.

In carrying out the above functions, the Authority may:

- i. Carry out, commission or coordinate research and publish the results of such research
- ii. To undertake pilot schemes for the purposes of developing and improving methods.

2. Guidelines and Standards⁴

The Risk Management Authority is to:

- i. Prepare and issue guidelines as to the assessment and minimisation of risk
- ii. Set and publish standards according to which measures taken in respect of the assessment and minimisation of risk are to be judged.

3. Risk Management Plans⁵

The Risk Management Authority is to:

- i. Publish the form of Risk Management Plans
- ii. Consider for approval Risk Management Plans
- iii. Review annual reports on the implementation of Risk Management Plans
- iv. May issue guidance as to the preparation, implementation or review of any Risk Management Plan.

4. Accreditation, Education and Training⁶

The Risk Management Authority is to:

- i. Administer any scheme of accreditation in relation to a manner of assessing and minimising risk
- ii. Administer any scheme of accreditation in relation to a person having functions as to the assessment and minimisation of risk
- iii. May provide or secure the provision of education and training in relation to the assessment and minimisation of risk for any persons having functions in that regard.

5. Supplementary Functions⁷

The Risk Management Authority, in connection with the exercise of its functions, may:

- i. Acquire and dispose of land
- ii. Enter into contracts
- iii. Charge for goods and services
- iv. Invest and borrow money.

³ Section 4 of the Criminal Justice (Scotland) Act 2003

⁴ Section 5 of the Criminal Justice (Scotland) Act 2003

⁵ Section 6-9 of the Criminal Justice (Scotland) Act 2003

⁶ Section 4 & 11 of the Criminal Justice (Scotland) Act 2003

Risk Assessment and Minimisation (Accreditation) Scheme (Scotland) Order 2006

⁷ Section 12 & 13 of the Criminal Justice (Scotland) Act 2003

Review of the remit and functions of the Risk Management Authority

As part of the Scottish Government's commitment to simplifying the public bodies landscape in order to 'deliver a more effective government', the First Minister announced in January 2008 that:

"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".

The Review was a challenging and constructive process which engaged the Risk Management Authority and its stakeholders in considering how to deliver increased public value, assist effectively in the Scottish Government's Reducing Reoffending Programme and to demonstrate its contribution towards the Scottish Governments' National Outcomes and Targets; in particular, the strategic objective of making Scotland safer and stronger.

In response to the First Minister's announcement, the Risk Management Authority worked closely with the Scottish Government to examine its functions and ensure that its contribution to integrated best practice in the risk assessment and management of offenders who pose a serious risk to the public, was retained.

The Authority, where possible, continued "business as usual" during the period of review. It is noted here that all statutory functions were carried out as normal, and all projects were sustained. It is also noted that some projects were necessarily delayed or re-framed in light of the review process.

At the start of this financial year the Risk Management Authority learned that the outcome of the review concluded that the RMA would retain its independent status, and that its functions should be aligned to the wider needs of the Reducing Reoffending Programme's objectives.

This was provided for by means of a joint management framework agreement between the Scottish Government and the RMA that articulated a closer alignment of the Scottish Government and RMA objectives and identified shared priorities and allocated respective tasks. This detail is now reflected in the RMA's business and corporate plans.



Performance

against 2009-10 Business Plan

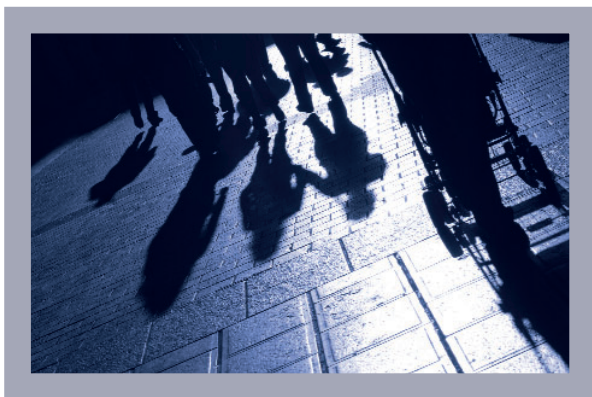
Strategic overview

2009-10 was a challenging year for the Risk Management Authority, with considerable change including:

- the development of a management framework agreement with the Scottish Government which aligns the remit of the Risk Management Authority with current policy
- the appointment of a new Chief Executive
- a three year corporate plan developed with associated business planning tools to support it
- the organisation's staff structure reviewed and revised to reflect the newly clarified strategic direction and
- a new pay system implemented to support a fair and equitable pay policy.

Throughout this challenging year, the Risk Management Authority succeeded in maintaining its focus and fulfilling its statutory duties, and has achieved the corporate objectives set in 2008/09.

The Risk Management Authority's Business Plan for 2009-10 contained five strategic aims. A description of each aim and the work undertaken during this period are detailed as follows:



Strategic Aim 1 – Best Practice

The Authority plays an active role in the development and implementation of criminal justice policy, in particular the Offender Management Programme, to ensure it is underpinned by best risk assessment and management practice. We engage with key stakeholders and contribute to the development of existing policy initiatives through membership of national working groups. Overall we promote best practice in the assessment and minimisation of risk of harm to others and aim to further Scotland's reputation as a leader in this field.

During this reporting year notable activity against this strategic aim included:

- Participation in the Multi Agency Public Protection Arrangements (MAPPA)⁸ Working Group
- Co-chair of the FRAME⁹ Working Group
- Participation in the LS/CMI¹⁰ Working Group
- Participation in the Youth Justice Framework Implementation Group
- The hosting of a knowledge exchange seminar with the Swedish Board of Forensic Medicine
- Maintenance of close links with the Justice Department, in particular our continuing partnership with the Effective Practice Unit
- Provision of support and advice to Renfrewshire Council staff on the pilot implementation of the LS/CMI.

⁸ Community Management of Offenders

⁹ FRAME promotes standardisation of a three-tiered approach to risk assessment with corresponding information, tools and methodologies for each tier

¹⁰ Level of Service/Case Management Inventory, Andrews, Bonta & Wormith (2004). LS/CMI is being introduced in Scotland from October 2010, and will become the common method of risk assessment within Criminal Justice Social Work and the Scottish Prison Service

Strategic Aim 2 – Research & Innovation

The Authority promotes Scotland as an international leader in research and innovation in the field of offender risk assessment and risk management.

To achieve this aim we collaborate with universities and other centres of research in the criminal justice field. We engage with front line practitioners, review and contribute to the international literature and knowledge base and support Scottish Government through our contributions to key project activities.

During this reporting year notable activity against this strategic aim included:

- The delivery of LSCMI training events with Renfrewshire Council Criminal Justice Social Work staff to facilitate a pilot study
- Support to the development of the Memorandum of Procedure on restricted patients
- Establishing the basic concepts for FRAME: Framework for Risk Assessment, Management and Evaluation, and securing agreement at strategic level with collaborative partners
- Production of a Risk Assessment Report writing module. This module is based upon the standards developed for writing Risk Assessment Reports and applies them to a wider setting. The first delivery of training is scheduled for July 2010
- Initiation of the interviews with police and social work staff on the implementation of Stable & Acute 2007 (SA07)¹¹
- Training for Authority and Scottish Government staff in Correctional Practice Assessment Inventory (CPAI) and a partnership with Swansea University was developed to support future use.

Strategic Aim 3 – Setting the Standard

The Authority undertakes to extend and advance standard setting for risk practice. We accredit individuals to undertake the complex assessments required by the High Court when it is considering an Order for Lifelong restriction, and the methods of risk assessment and risk management that must be employed in the preparation of such reports. Standards are also set for the risk management of those individuals subject to the Order for Lifelong Restriction. The related publications and processes are subject to ongoing review and revision to ensure continuous learning and improvement in a rapidly developing field.

During this reporting year notable activity against this strategic aim included:

- Renewal of the accreditation of five Assessors and accreditation of four new Assessors
- Approval of 29 initial Risk Management Plans
- Review 9 annual implementation reports
- Evaluation of the current approach for targeting potential assessors
- Regular advice and support to Accredited Assessors on process issues, Continuing Professional Development (CPD) and interpretation of standards
- Regular advice and support to Case Managers on process issues
- Revision of the format of Risk Assessment Reports (RAR)
- Initiation of a review of the Risk Management Plan (RMP) approval process
- Dialogue with key agencies such as the Parole Board and Scottish Prison Service to ensure a robust interface between various systems and processes (e.g. interface between Risk Management Plans and Parole).

¹¹ *Stable and Acute 2007, Harris & Hanson (2007) is a risk assessment tool for sexual offenders*



The Authority encourages skills development and education in the field of risk assessment and risk management through the identification, development or provision of a range of learning resources.

Working towards a Safer Scotland

Strategic Aim 4 - Raising the Standard

The Authority encourages skills development and education in the field of risk assessment and risk management through the identification, development or provision of a range of learning resources.

During this reporting year notable activity against this strategic aim included:

- Training for practitioners on developing and delivering risk management planning and practice
- Practitioner and trainer training on the 'Assessing and Managing Risk CD ROM'
- Ongoing revision of the 'Assessing and Managing Risk CD ROM'
- Ongoing work on the 'Risk Assessment Report Writing' distance learning module, with agreement reached regarding course delivery, mentoring and assessment
- Members of the Training Services Providers Group (TSPG) assisted us in:
 - Adapting LSCMI training materials to support national roll out
 - Modifying the Risk Management Planning and Practice training course to be consistent with the FRAME approach, providing tier-specific training.



Strategic Aim 5 - Improving the Service

To support the delivery of all strategic aims, the Authority sets out to continuously improve internal performance and practice in areas such as financial management, accountability, corporate governance and stakeholder development. We do this through the development of workforce plans that identify and balance future staffing needs, the benchmarking of our activity against other organisations and the construction of performance management systems.

During this reporting year notable activity against this strategic aim included:

- Facilitation of the continued professional development of Authority staff and Board members through approved training courses (all 13 staff attended at least one of the 41 training courses approved this year)
- A review of all staff policies was undertaken and a new staff handbook created and introduced
- Reviewed the allocation of duties and implemented a new organisational/staff structure. This included developing more robust HR processes
- Appointment of an HR consultancy service provider as part of our commitment to being a fair and equitable employer
- A pay review and development of a new pay model
- Union recognition agreement with PCS
- A Memorandum of Understanding with the Scottish Government for the provision of IT services
- A substantial assurance rating from its internal auditors for 2009-10 in respect of risk management, control and governance arrangements
- Ongoing maintenance and review of a corporate risk register to monitor, assess and control risk factors. The risk register is reviewed quarterly by the RMA Audit Committee
- Work to develop new branding guidelines for the Risk Management Authority, including a re-design of the website. This work is due to be implemented early in the next financial year. The new website system signifies a shift towards electronic delivery of publications and a reduction in printing requirements, thus delivering on our commitment to environmental improvement
- In total the Authority received 24 Freedom of Information requests during 2009-10. All enquiries were processed in line with our Publication Scheme to timescale.

Key Projects

A significant proportion of our activities throughout the year concerned long term projects. These core activities, involving research and development, formed an integral element of our work to enhance best practice. The outcomes delivered cut across the RMA's functions and strategic aims noted previously, particularly **Strategic Aim 1- Best Practice**, **Aim 2 – Research & Innovation** and **Aim 4 – Raising the Standard**. In all cases our key projects were supported by our progressive engagement with key stakeholders.

Stable and Acute 2007

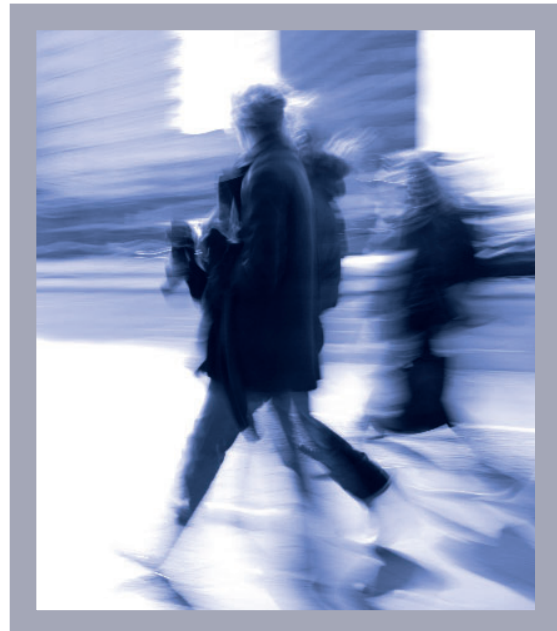
The Risk Management Authority was charged with the task of examining the implementation of the Stable and Acute 2007 (SA07) dynamic risk assessment tool for sexual offenders in Scotland.

The SA07 has been fully implemented in Scotland and Northern Ireland, and has been piloted in England and Wales. The aim of the study was to identify any existing problems with the use of the risk assessment instrument in Scotland with a view to making recommendations for improvements in practice and quality control. During 2009-10, the RMA conducted interviews with a representative sample of police, social work and prison staff. The practitioners involved in the study were also required to complete an assessment using a case study vignette to ascertain scoring accuracy. The findings have been compiled and analysed and any identified issues are currently being addressed with the relevant agencies. A final report on our findings will be provided to the relevant Scottish agencies.

Risk Assessment Tool Evaluation Directory (RATED)

The innovative Risk Assessment Tool Evaluation Directory (RATED), developed and published by the Risk Management Authority, has proved to be a valuable and much sought after resource for a wide range of agencies, practitioners, academics and students alike.

The last year has seen the early development of Version 3 which will incorporate range of amendments to the format and content of the directory.



Framework for Risk Assessment, Management and Evaluation (FRAME)

The Risk Management Authority responded to the need for a consistent approach to risk assessment and risk management across agencies and professional groups by developing FRAME. Scottish research¹² had highlighted confusion over the various elements of risk and it became evident that some clarification was required. FRAME is underpinned by a tiered, or triage, approach to risk, with the same principles, standards and practice process applying proportionately. The Risk Management Authority Chief Executive, Yvonne Gailey, and the Head of Community Justice Services Division jointly sponsor the project.

During the last year, the concept of FRAME has been adapted to support the Scottish Government 'Reducing Reoffending Programme'. The Authority led and participated in a number of workshops in collaboration with key partners including the Association of Chief Police Officers in Scotland (ACPOS), Scottish Prison Service (SPS), Association of Directors of Social Work (ADSW) and others involved in the Reducing Reoffending Programme work streams. Other key projects such as the work on LS/CMI, SA07, RATED and the Standard and Guidelines for Risk Assessment and Risk Management provide interfaces for FRAME, with the findings from each project informing the development and content of the FRAME document.

Level of Service/Case Management Inventory (LS/CMI)

The LS/CMI is the comprehensive risk assessment and case management system that will become the common core instrument for use within both the Scottish Prison Service and Criminal Justice Social Work. Plans and preparation for the national implementation of the LS/CMI have been in place for some time with the national implementation of the programme scheduled to commence October 2010. In 2007, the RMA was charged with a number of tasks in this project, specifically to:

- i. Support the national project by participation in the national working group
- ii. Pilot and further developing the training programme
- iii. Promote future evaluation of the implementation.

The pilot of the training programme commenced in March 2009 and is now providing an update report on its work in advance of the national implementation.

Initial LS/CMI training events were undertaken in the Pilot area during March, June and July 2009 observed by RMA staff. Phase 1 of the pilot study achieved its objectives of testing and amending the training schedule and materials to suit the Scottish context in collaboration with practitioners, and preparing a group of said practitioners to participate in a further phase of study. The training programme has been delivered, evaluated on a number of levels, and amended accordingly. As a result, significant changes to the LS/CMI training materials and provision were agreed within the pilot area and with national stakeholders to inform implementation during 2010-2011.

¹² Barry, M., Loucks, N., Kemshall, H. (2007). *Serious Violent Offenders: Developing a Risk Assessment Framework*. Risk Management Authority Research.

The Order for Lifelong Restriction:

Accreditation and Risk Management Plan approval processes 2009-10

The Order for Lifelong Restriction (OLR) became available to the High Court in 2006. This sentence provides for the lifelong management of high-risk violent and sexual offenders. In cases where the High Court considers that an offender may meet the set 'risk criteria',¹³ it will make a Risk Assessment Order (RAO). With this order an Assessor accredited by the Risk Management Authority is appointed to produce a Risk Assessment Report. This report assists the High Court in its consideration of whether or not an Order for Lifelong Restriction should be imposed.

The circumstances in which the High Court in Scotland may consider making a Risk Assessment Order in respect of a convicted person are broad. Other than murder (where there is a mandatory life sentence) there are no exclusions to the offences that may be considered.

Three specific categories are mentioned:

- Sexual offences;
- Violent offences; and
- Offences which endanger life.

The OLR process is supported by the Risk Management Authority's Accreditation Committee.

The primary function of the Accreditation Committee is to consider RMA accreditation of persons or manners of assessing and minimising risk and to assess whether they meet the RMA standard for accreditation. The Committee's specific powers, set out in full in the Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006, include:

- To decide whether an applicant has met the required competencies and standards to become an RMA risk assessor and to award accredited status if they have
- To provide appropriate direction to RMA staff on the handling of an application for accreditation at all stages prior to a final decision on whether or not to accredit a person

- To decide whether a manner has met the required criteria to become an RMA accredited manner and to award accredited status if it has
- Oversee the development and review of any RMA Standards & Guidelines with regards to risk assessment and management, which Accredited Assessors must conform to.

Key Facts for 2009-10:

4 *accredited assessor applications approved*

5 *re-accreditation applications approved*

Accreditation as a risk assessor is based on a competency framework in order to apply consistent standards of assessment across different professions. The competency framework underpins the application process, which balances the required rigour with recognition that candidates for accreditation will invariably be experienced practitioners with a wide range of relevant skills.

During 2009-10, the Risk Management Authority received and processed 6 applications for accredited assessor status. Of these applications 4 were approved. The Authority also processed and approved 5 applications for re-accreditation during the 2009-10 period, bringing the total number of assessors accredited to undertake Risk Assessment Reports on behalf of the High Court to 15. (*see fig 1*)

¹³ Section 210E of the Criminal Justice (Scotland) Act 1995

This increased number of accredited assessors provides a cohort capable of meeting the current volume of Risk Assessment Orders issued by the High Court.

It should be noted that RAO's instructed near the end of a financial year are carried forward, to be concluded in the subsequent financial year (once an RAO has been instructed, the Accredited Assessor has 90 days to complete the Risk Assessment Report, although this can be extended)

Key Facts for 2009/10

27 Risk Assessment Orders (RAO's) instructed by the High Court

The number of RAO's instructed has increased steadily since the inception of the legislation in 2006. To date a total of 71 RAO's have been recorded, of which 60 have been concluded, (11 to carry forward into 2010-11). (see fig 2)

Once the Accredited Assessor has carried out the risk assessment and reported back to the High Court with the Risk Assessment Report, the judge then makes the decision to impose an OLR or otherwise.

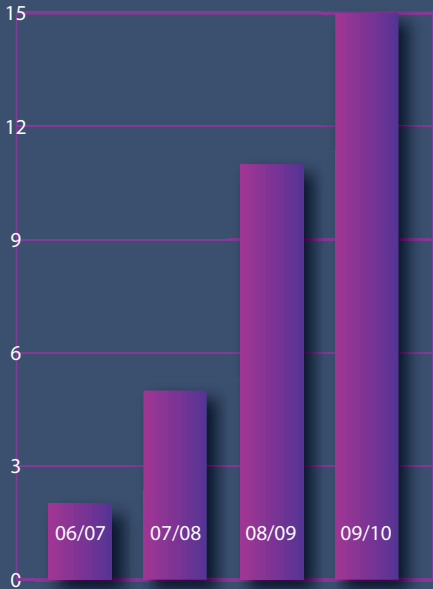


Fig 1. Number of Accredited Assessors

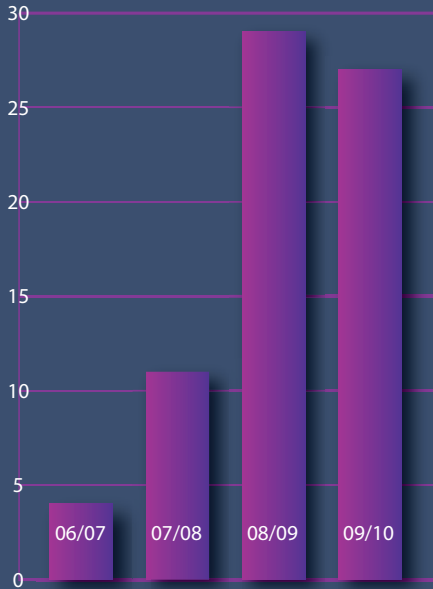


Fig 2. Number of Risk Assessment Orders issued by the court in each year

Key Facts for 2009/10

26 *Orders for Lifelong Restriction (OLR's) imposed by the High Court*

When the legislation creating the Order for Lifelong Restriction first came into force, it was estimated that by largely replacing the discretionary life sentence, lifelong restriction orders would be imposed in approximately 15 cases a year. The figure of 26 OLR's recorded for 2009-10 is obviously much higher than that initial estimate, however it is too early to draw any conclusions from these figures. The OLR sentence remains relatively new, having only been available to the High Court for four years. Accordingly the Risk Management Authority will continue to monitor and study the application of the legislation as it becomes more established. *(see fig 3)*

Since the inception of the legislation to date, the 60 Risk Assessment Reports concluded have resulted in a total of 48 offenders being sentenced to an OLR.

It was projected that the majority of individuals of concern would be adults, and this has been borne out to date. However consideration of young people has occurred more frequently than anticipated and this has resulted in the imposition of lifelong restriction on 10 offenders under the age of 21. Again, it remains too early to appraise the application of the legislation however the Risk Management Authority will continue to monitor the emerging statistics. *(see fig 4)*

Once an Order for Lifelong Restriction has been imposed, the next stage of the process is governed by the Risk Management Authority's Risk Management Plan Approval Committee.

The primary function of the Risk Management Plan Approval Committee is to approve Risk Management Plans submitted by Lead Authorities.

This Committee also has functions to:

- Receive annual reports on the implementation of approved Risk Management Plans
- Oversee the Risk Management Plan process; and to
- Set and amend policy in the area of Risk Management Plans.

The Criminal Justice (Scotland) Act 2003 requires the preparation and approval by the Risk Management Authority of a Risk Management Plan for each offender sentenced to an Order for Lifelong Restriction, within nine months of the date of sentence.

Such plans are thereafter reviewed annually with implementation reports submitted to the Authority. The purpose of the Risk Management Plan is to ensure that risk is properly managed on a multi-disciplinary basis. Agencies with statutory responsibilities for the offender such as the Scottish Prison Service, local authority social work services and health services providers, must collaborate in the preparation of the Risk Management Plan. The agency responsible for writing the Risk Management Plan and submitting it to the Risk Management Authority is known as the lead authority. The lead authority will change depending on the position of the offender (e.g. whether in prison or released on licence in the community). The Risk Management Plan must provide an assessment of the offender's risk, describe the measures to be taken to minimise that risk and how these measures will be co-ordinated.

Key Facts for 2009-10:

29 *Risk Management Plans approved*

7 *Annual Implementation Reports reviewed*

In this reporting year, 29 Risk Management Plans (RMP) were approved and 7 Annual Implementation Reports (AIR) reviewed by the Risk Management Plan Approval Committee, all within legislative timescales.

There has been a considerable increase in the volume of Risk Management Plans and Annual Implementation Reports considered by the RMP Approval Committee in 2009-10 compared to the previous year. The projected workload of the committee will continue to rise due to the accumulative nature of the process. It should also be noted that a significant change in an offender's circumstances requires a review of the offenders' Risk Management Plan by the lead authority. If the review shows the plan to be unsuitable, an amended plan must be submitted to the RMA for approval, again adding to the volume of work considered by the Risk Management Plan Approval Committee. *(see fig 5)*

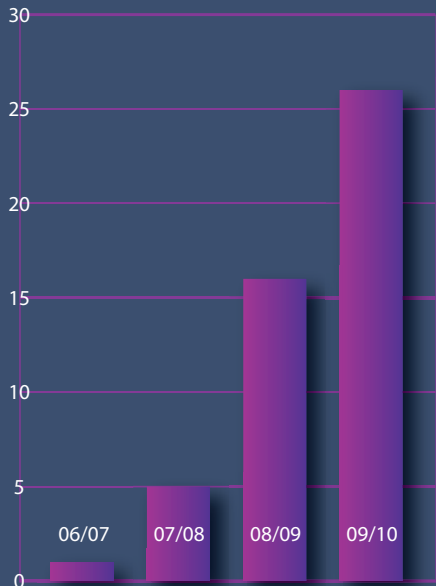


Fig 3. Number of offenders awarded an Order for Lifelong Restrictions in each year

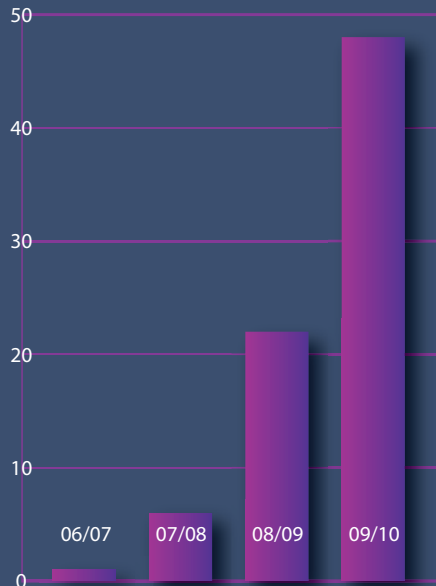


Fig 4. Cumulative number of offenders subject to an Order for Lifelong Restriction

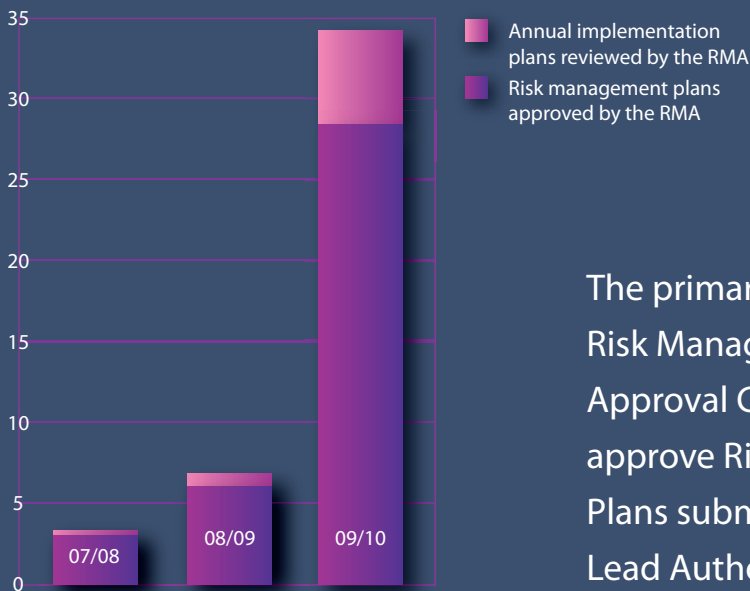


Fig 5. Risk Management Plan Approval Committee Case Review

The primary function of the Risk Management Plan Approval Committee is to approve Risk Management Plans submitted by Lead Authorities.

Corporate Governance

Board and senior staff

Appointments to the Board of the Risk Management Authority are made by the Scottish Ministers. During the year no changes were made to Board members.

Convener:

Mr Peter Johnston

Board Members:

Professor Jim McManus

Ms Morag Slesser

Mr Peter Withers

Professor Don Grubin

Professor Hazel Kemshall

Mr Jim Green

Dr Anne MacDonald

The Board is responsible for setting the strategic direction of the RMA and, together with the RMA Chief Executive, ensures that Best Value is achieved through efficient and effective use of resources and personnel.

In order to do this, the Board established five Committees to ensure informed decision and policy making. The Scottish Government is represented on the Research and Training Committee through a nominee from the Effective Practice Unit (EPU) within the Justice Department.

The Committees are:

Accreditation Committee

Appeals Committee

Audit Committee

Remuneration Committee

Research & Training Committee

Risk Management Plan Approval Committee

The Register of Members' interests is available on the Authority's website www.rmascotland.gov.uk or direct from the Authority via telephone on 0141 567 3112 or by e-mail at info@rmascotland.gsi.gov.uk

Yvonne Gailey was appointed Chief Executive on 27th May 2009 and is the Accountable Officer for the Risk Management Authority.

Ms Gailey took up the Chief Executive post following three years as Director of Operations and Development within the RMA. This followed five years in training and consultancy, involved in introducing risk assessment tools and effective practice initiatives in Scotland's youth and criminal justice sectors. She has a social work background, working from 1979 to 2001 in Renfrewshire Council as a social work practitioner and criminal justice manager, and throughout her career has demonstrated a commitment to evidence-based practice.

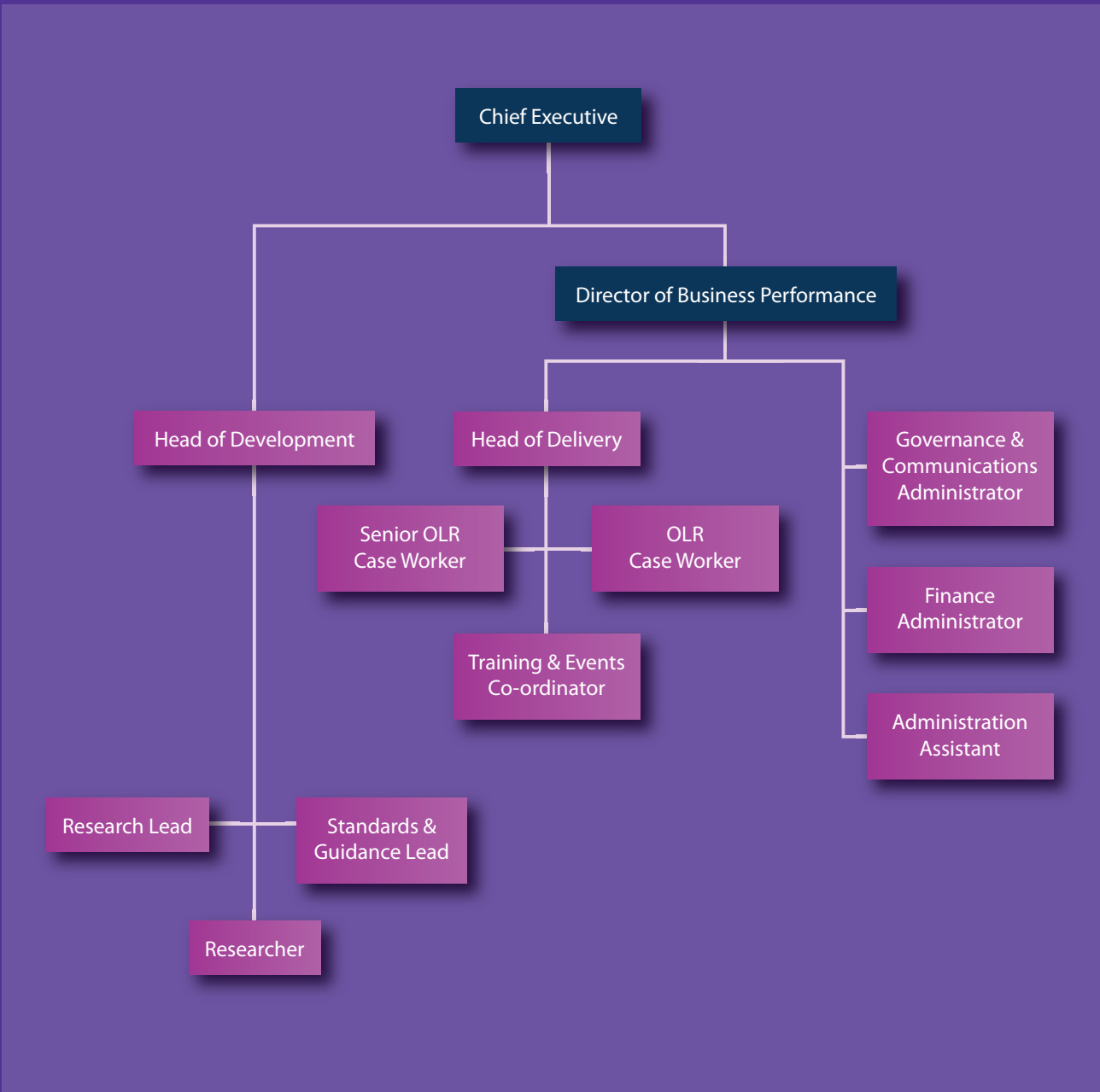
Paul Keoghan joined the Risk Management Authority on 26 January 2009 as Director of Business Performance. Mr Keoghan oversees all of the Authority's business team functions including finance, policy, communications, IT, audit and administration, to facilitate the smooth running of the organisation and ensure that the RMA adheres to the Best Value and financial procedures laid out by the Scottish Government.

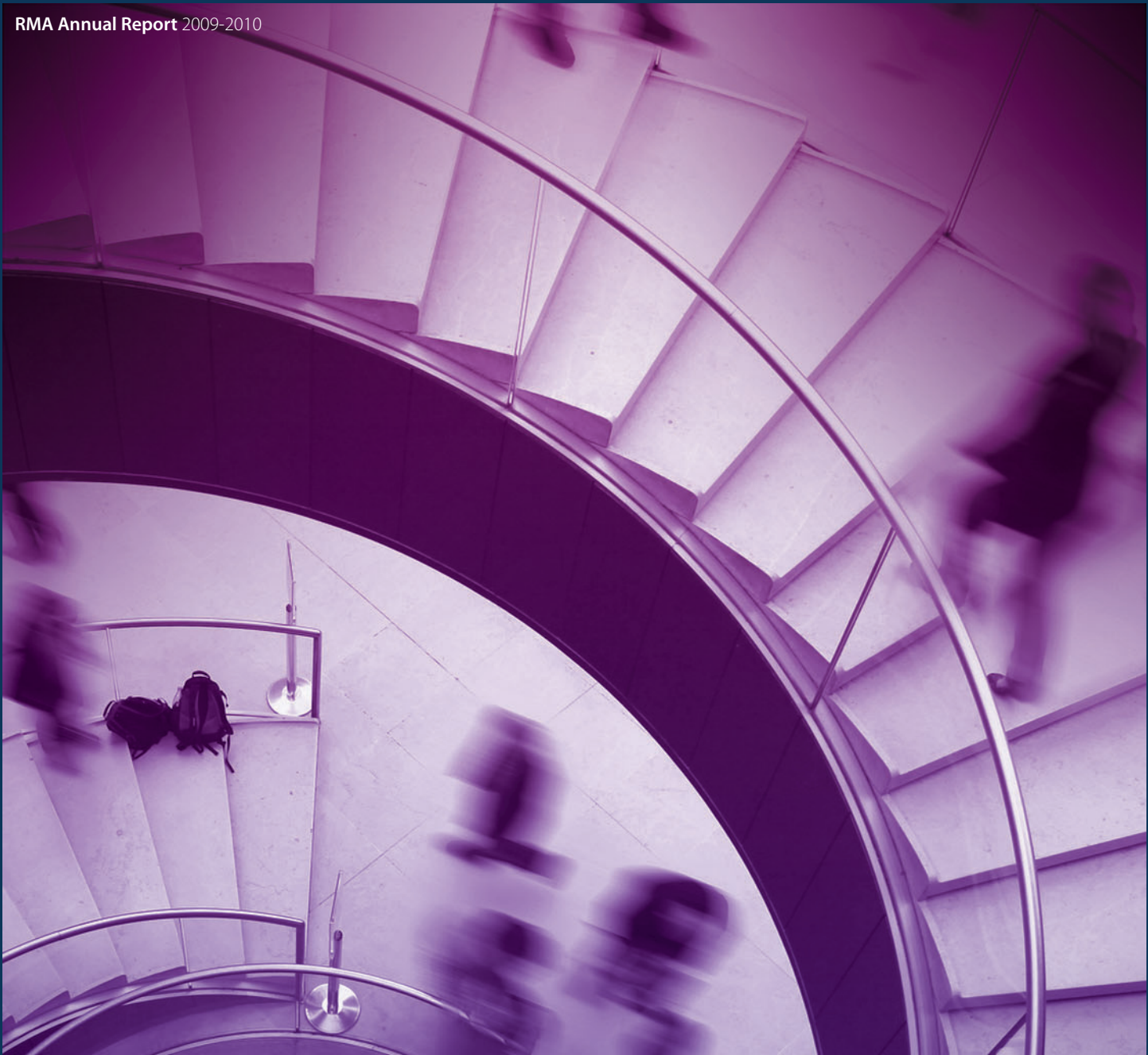


Staff Structure

During this reporting period a review of our organisations staff structure was undertaken. The purpose of the review was to identify and balance our future staffing needs, reflecting upon our newly-clarified strategic direction.

The new Risk Management Authority staff structure is outlined below:





The Risk Management 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.

Working towards a Safer Scotland

Future

Strategic Developments

Our new strategic vision highlighted in our corporate plan for 2010-13 has provided a framework for the Risk Management Authority that allows for visibility of achieving our statutory outcomes and the Scottish Government's national outcomes. Our five-strand strategic vision, based on five *business drivers*, is reflected in our Business Plan for 2010/11. This document outlines our annual targets and corresponding Key Performance Indicators.

In summary, the Risk Management 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 Risk Management Authority will concentrate on during the next reporting year are:

Driver 1: Best Practice

- Promotion of the work of the Authority
- Contributing to policy decision-making
- Delivery and hosting of international events promoting best practice.

Driver 2: Research and Innovation

- To develop and promote a consistent approach to risk management practice through a Framework for Risk Assessment, Management and Evaluation (FRAME)
- Evaluate the implementation of LS/CMI, SA07 and SARA¹⁴
- Conduct further research to enhance Scotland's knowledge and expertise of risk assessment and risk management.

Driver 3: Setting the Standard

- Further enhance processes determined by the Accreditation Scheme
- Develop systems to assure quality in the preparation of Risk Assessment Reports
- Develop systems to assure quality in the approval process of Risk Management Plans
- Continue to build upon the portfolio of Risk Management Authority approved resources.

Driver 4: Raising the Standard

- Develop core training programmes and support materials supporting FRAME
- Develop and promote tailor-made training for each of the three progressive tiers of FRAME
- Extend and improve upon dissemination methods used to target key audiences with information and resources.

Driver 5: Improving the Standard

- Build an effective centralised HR function
- Establish and implement an effective communications strategy
- Realise efficiencies through the use of existing and new IT applications
- Further enhance the systems that facilitate the governance of the Risk Management Authority
- Continue to provide a robust financial management system
- Ensure the sustainability of the organisation's working practices and existence.

¹⁴ *Spousal Assault Risk Assessment Guide, Kropp, Hart, Webster & Eaves (1999)*



The duties outlined focus on protecting the public by ensuring that robust and effective management practices are in place to reduce the risk of serious harm posed by violent and sexual offenders.

Working towards a Safer Scotland

Summary

Financial Information

Operating Cost Statement For the year ended 31 March 2010

	Notes	2009-10 £'000	2008-09 £'000
Administrative costs			
Staff costs	2	591	571
Other admin costs	3	484	656
Notional costs	4	(8)	(4)
Net administration costs		1,067	1,223

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

Statement of Financial Position As at 31 March 2010

	Notes	2009-10 £'000	2008-09 £'000
Non-current assets			
Property, plant and equipment	5	19	29
Intangible assets	6	36	71
Total non-current assets		55	100
Current assets			
Trade and other receivables	8	-	20
Cash and cash equivalents	9	418	429
Total current assets		418	449
Total assets		473	549
Current liabilities			
Trade and other liabilities	10	373	263
Total current liabilities		373	263
Total assets less current liabilities		100	286
Non-current liabilities			
Provisions	11	12	-
Total non-current liabilities		12	-
Total liabilities		385	263
Net Assets		88	286
Taxpayers equity			
General fund		55	220
Deferred government grant		33	66
Total taxpayers equity		88	286

The full audited annual accounts have been published on the Authority's website, www.rmascotland.gov.uk, and are available upon request from the Authority.

Signed on behalf of the Authority:



Yvonne Gailey, Chief Executive, 28 June 2010

Independent

Auditors' Statement

Independent auditors' statement to the members of the Risk Management Authority

We have examined the summary non-statutory financial information ("the summary information") set out on pages 21 to 22 of the Risk Management Authority Annual Report 2009-10.

This report is made solely to the members of the Risk Management Authority, as a body, in accordance with the terms of our engagement. Our audit work has been undertaken so that we might state to the Risk Management Authority ("the Authority") those matters we are required to state to them in such a report and for no other purpose. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Authority, as a body, for our work, for this statement, or for the opinions we have formed.

Respective responsibilities of the Authority and Auditors

The directors are responsible for preparing the Risk Management Authority Annual Report 2009-10. Our responsibility is to report to the Authority on the consistency of the summary information within the Risk Management Authority Annual Report 2009-10 with the Authority's full annual financial statements.

We also read the other information contained in the Risk Management Authority Annual Report 2009-10 and consider the implications for our report if we become aware of any apparent misstatements or material inconsistencies with the summary information.

Basis of opinion

We conducted our work having regard to Bulletin 2008/3 The Auditor's Statement on the Summary Financial Statement in the United Kingdom issued by the Auditing Practices Board. Our report on the Authority's full annual financial statements for the year ended 31 March 2010, on which we gave an unqualified opinion, describes the basis of our audit opinion on those financial statements.

Opinion

In our opinion the summary information for the year ended 31 March 2010 is consistent with the full annual financial statements of the Risk Management Authority for the year then ended.

We have not considered the effects of any events between the date on which we signed our report on the full annual financial statements (28 June 2010) and the date of this statement.

S Reid

For and on behalf of KPMG LLP, Statutory Auditor

Chartered Accountants
191 West George Street
Glasgow
G2 2LJ

14 February 2011

Glossary

Acronym	Full Term	Definition
ACPOS	Association of Chief Police Officers in Scotland	Association of all chief police officers and some senior police staff of the 8 Scottish police forces, the Scottish Crime and Drug Enforcement Agency, the Scottish Police College and the Assistant Chief Constable of the British Transport Police (Scotland)
ADSW	Association of Directors of Social Work	Professional association representing senior social work managers in local government in Scotland.
CPAI	Correctional Practice Assessment Inventory	Research base objective instrument used to assess programme effectiveness
FRAME	Framework for Risk Assessment, Management and Evaluation	RMA-developed structured and shared approach to risk practice
LS/CMI	Level of Service / Case Management Inventory	Risk Assessment Tool
MAPPA	Multi Agency Public Protection Arrangement	Community Management of Offenders
NDPB	Non-Departmental Public Body	A public organisation that is self-governing but accountable to and funded by Government
OLR	Order for Lifelong Restriction	Sentence providing for lifelong management of high risk violent and sexual offenders. Requires implementation and review of an RMA approved risk management plan for offenders in custody and in the community. Includes a punishment part, spending minimum period in secure custody
RAO	Risk Assessment Order	Issued by the High Court regarding an offender who is being considered for an Order for Lifelong Restriction
RAR	Risk Assessment Report	Produced by an RMA Accredited Assessor on behalf of the High Court for someone who is subject to a Risk Assessment Order
RATED	Risk Assessment Tool Evaluation Directory	Directory of Risk Assessment Tools
RMP	Risk Management Plan	Required by law, for an offender subject to an Order for Lifelong Restriction, approved by the Risk Management Authority. A Risk Management Plan is prepared by the lead authority
SA07	Stable and Acute 2007	Risk Assessment Tool
SPS	Scottish Prison Service	Scottish Government Agency

Working towards a Safer Scotland

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