

# Annual Report and Accounts

2010-11

*Working towards a Safer Scotland*



**RMA**

Risk Management Authority



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# Annual Report and Accounts

## Convener's Foreword



It is my pleasant duty to present the Annual Report and Accounts of the Risk Management Authority (RMA) for 2010-11. This report sets out the work of the RMA over the past year and details the real progress we have made against our set targets. The strategic vision outlined in our corporate plan for 2010-13 provided the framework for these efforts,

with clearly defined statutory duties and strategic aims that directly support the development and implementation of national policy initiatives and ultimately, the national strategic objective of making Scotland safer and stronger.

The RMA is a non-departmental public body (NDPB) funded by the Scottish Government and sponsored by the Criminal Justice and Parole Division of the Justice Directorate<sup>1</sup>. The promotion and support of excellent professional practice in assessing and managing the risk of serious harm presented by violent and sexual offenders forms the basis of our role, and by adhering to an outcomes based approach we ensure that our working practices are aligned with this strategic aim.

Our achievements in delivery of the RMA Business Plan 2010-11 are contained in detail in this report. They include the development of the policy document to underpin FRAME, a Framework for Risk Assessment, Management and Evaluation, which is the RMA-led concept for a standards based approach; the delivery of two ambitious conferences that promoted best practice to an international audience; and a programme of comprehensive support to the national implementation of the LS/CMI<sup>2</sup> risk assessment tool across Scotland.

The RMA also has particular responsibility for the governance of processes associated with the assessment and management of the risk of harm posed by offenders considered for, or subject to, an Order for Lifelong Restriction. In 2010-11, three further appropriately skilled and experienced individuals were accredited by the RMA to undertake assessments reports on behalf of the High Court, and eight existing assessors were re-accredited for a further three year period, increasing the

number of accredited assessors to seventeen. Over the year the RMA approved fifty three risk management plans prepared by the Scottish Prison Service in relation to individuals subject to an order for lifelong restriction, and reviewed thirty four implementation reports. I believe that the continuing high quality delivery of these and other core functions demonstrates the commitment of all involved. We are also fortunate to have a close and effective working relationship with our Sponsor Division and other stakeholders, which greatly assists us in the ongoing delivery of our strategic aims.

The past year has witnessed two changes in the membership of the RMA Board and I would like to take this opportunity to express my gratitude to one member whose term has ended, and to welcome a new member to the Board. Morag Slesser left the RMA Board in June 2010 after more than five years service. During that time she was a member of our Risk Management Plan Approval Committee and Accreditation Committee, and chaired our Research & Training Committee. Morag brought a wealth of professional knowledge and practice experience to the RMA Board through her role as a Chartered Clinical and Forensic Psychologist at the State Hospital, Carstairs. Doctor Joanne Wood was appointed as a new psychologist member to the RMA Board in August 2010. Dr Wood is a Chartered Forensic Psychologist with Greater Manchester Probation Trust, bringing highly relevant skills and experience to our Board and committees.

Going forward, our plans for next year look to build upon our successes to date and advance our aims of promoting best practice in risk assessment and risk management. We have set stretching targets in our business plan that will see the RMA strive to produce innovative practices and excellent quality standards.


2010-11 was a year of real progress and I believe this report shows that the RMA has discharged its duties fully and well.

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

**Peter W Johnston**  
Convener  
25 July 2011

4 <sup>1</sup> Our Sponsor Division

<sup>2</sup> Level of Service / Case Management Inventory (LS/CMI)



“Going forward, our plans for next year look to build upon our successes to date and advance our aims of promoting best practice in risk assessment and risk management. We have set stretching targets in our business plan that will see the RMA strive to produce innovative practices and excellent quality standards”.

**Peter W Johnston**

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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 RMA's independent status allows for a fair and objective provision of service to the Scottish public.

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## The Role of the Risk Management Authority

The RMA is an independent Non-Departmental Public Body (NDPB)<sup>3</sup> established in 2005, under the Criminal Justice (Scotland) Act 2003. Sections 3 to 13 of the Act outline the statutory duties of the RMA. 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 RMA 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 management<sup>4</sup> 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 2003)*

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



<sup>3</sup> A public organisation that provides a service independently from the Government

<sup>4</sup> For further information, including OLRs, please see our FAQs at [www.rmascotland.gov.uk/news-and-information/faq-s/](http://www.rmascotland.gov.uk/news-and-information/faq-s/)

## Statutory function

A core statutory function of the RMA is to promote effective practice in relation to the assessment and minimisation of risk, as laid out in the Criminal Justice (Scotland) Act 2003. Communicating best practice is at the core of the RMA's work; drawing 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 Research<sup>5</sup>

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 Standards<sup>6</sup>

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 Plans<sup>7</sup>

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 Training<sup>8</sup>

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 Functions<sup>9</sup>

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.

<sup>5</sup> Section 4 of the Criminal Justice (Scotland) Act 2003

<sup>6</sup> Section 5 of the Criminal Justice (Scotland) Act 2003

<sup>7</sup> Section 6-9 of the Criminal Justice (Scotland) Act 2003

<sup>8</sup> Section 4 & 11 of the Criminal Justice (Scotland) Act 2003

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

<sup>9</sup> Section 12 & 13 of the Criminal Justice (Scotland) Act 2003

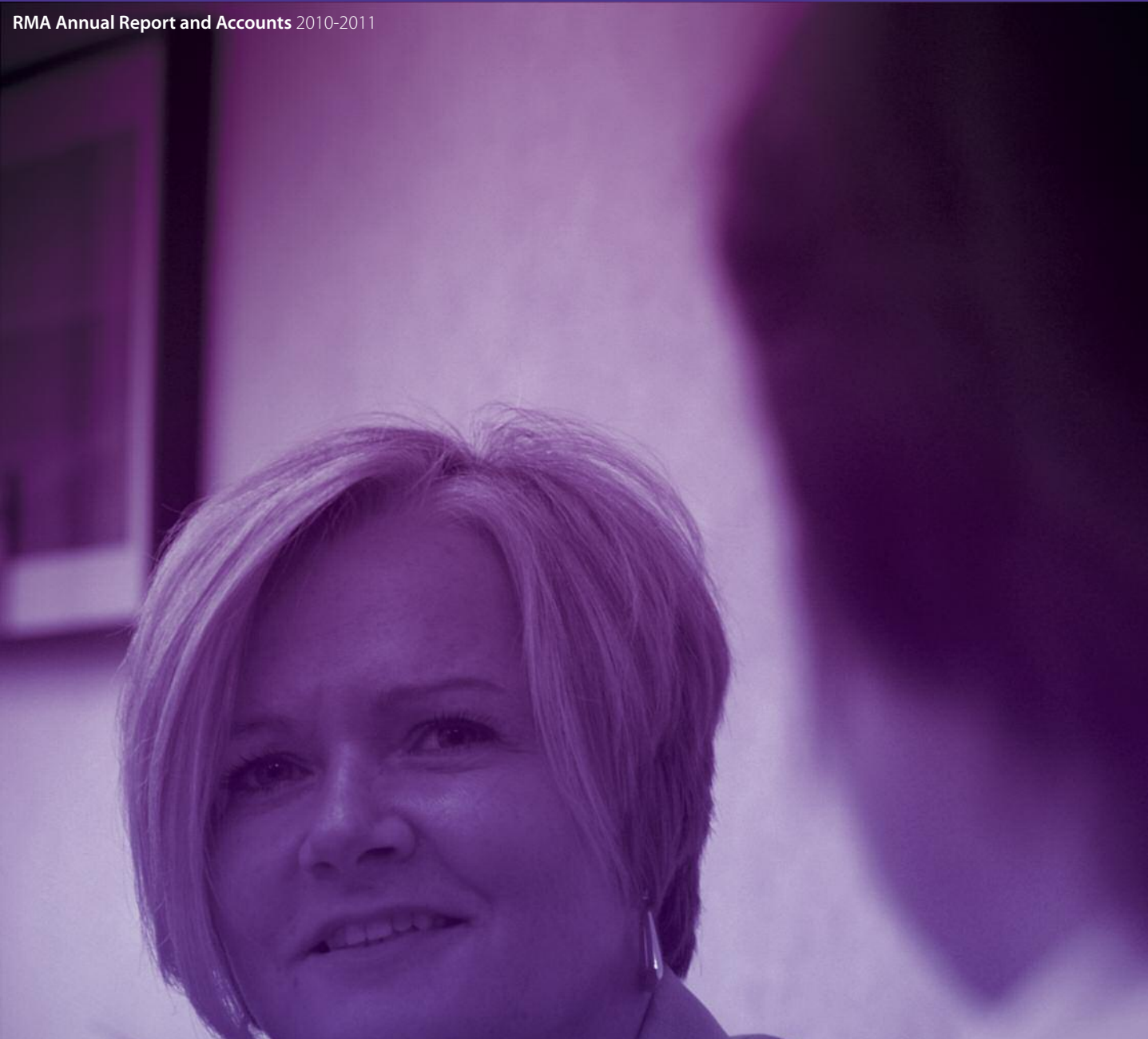




A core statutory function of the Risk Management Authority is to promote effective practice in relation to the assessment and minimisation of risk, as laid out the Criminal Justice (Scotland) Act 2003.

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The RMA aims to establish and promote best practice in the risk assessment and management of offenders through its commitment to continuous improvement, innovation, research and excellent quality standards.

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## Management Commentary

It gives me great pleasure to introduce this section of the Annual Report, which outlines the RMA's performance against the set Business Plan targets for 2010-11 and highlights our notable achievements over the past twelve months.

2010-11 proved to be a productive year for the RMA, with real strides forward in the delivery of our strategic aims and objectives. Through our commitment to meaningful partnership working we were able to inform the development of national projects, including the implementation of the LS/CMI risk assessment tool for use within the Scottish Prison Service and Criminal Justice Social Work; and an examination of the roll out of the Stable and Acute 2007 (SA07) dynamic risk assessment tool. Important milestones were also reached regarding the development of FRAME, with the production of the policy document for final review and adoption by key partners.

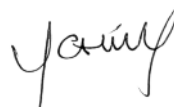
In terms of the RMA's role in the governance of processes regarding the order for lifelong restriction, accreditation scheme and risk management plan approvals, this year saw significant changes made to our procedures. The RMA's Risk Management Plan Approval Committee instigated new mechanisms for the processing of annual implementation reports and through consultation with lead authorities the Committee also reached an agreement on the production of revised risk management plans. These changes will provide for more manageable levels of casework for both the committee and lead authorities without any loss in quality.

New quality assurance measures were also implemented, to critically assess annual implementation reports and ensure the adherence of risk assessment reports to RMA standards and guidelines. These new mechanisms bolster our delivery of excellent quality standards and provide a robust platform for future work.

Our commitment to the promotion of best practice saw the RMA deliver two very well attended international conferences that brought leading experts in the field of risk assessment and risk management to Scotland. Full details of the events are included further on in this report, but I am pleased to report on the success of these events at this point and wish to thank all involved for their valuable contributions.

The primary source of funding for the RMA comes from the Scottish Government in the form of a grant in aid to a Non Departmental Public Body. In 2010-11 the RMA was tasked to identify efficiency savings and operate an annual budget of £1million, representing a reduction of £250,000 on the previous year. I am pleased to report that through careful financial management, the RMA met its efficiency targets with net operating costs of £955,000 for 2010-11.

Overall this has been a year of great success for the RMA. I hope you find this report informative and interesting, and I look forward to building upon this years' achievements with great optimism.



**Yvonne Gailey**  
**Chief Executive and Accountable Officer**  
 Risk Management Authority

## Performance against 2010-11 Business Plan

2010-11 marked the first phase of the RMA's Corporate Plan 2010-2013. The Business Plan was structured as per our 5 strategic activity areas, those being *Best Practice, Research & Innovation, Setting the Standard, Raising the Standard and Improving the Service*. The Business Plan contained 29 Local Performance Targets to support the achievement of these strategies. Progress was made against all 29 Local Performance Targets, with 25 achieved and 4 requiring further work, which will be carried forward into the new reporting period.

Changes to the staff structure, introduced at the end of the previous year, were fully implemented over the course of the year; these changes revised a number of staff roles and required significant levels of recruitment activity. The RMA is pleased to report that led by the Board and senior management team, productivity levels were maintained during this period of change, and that new staff were integrated seamlessly into the organisation.

Performance against the Business Plan 2010-11 is outlined in the following pages, with a description of each strategic aim and the notable work undertaken to support their delivery. A full list of the Local Performance Targets and the results against each is attached at Appendix A.

### Key Facts for 2010-11:

*Delivered two international events that enhanced best practice in the field of offender risk assessment and risk management*

### **Strategic Aim 1 – To promote Best Practice in the assessment and management of risk of harm to others**

The RMA 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 and critical working parties. We also promote best practice through the delivery of national and international conferences, workshops and training events.

Notable activity in 2010-11 supporting this strategic aim included:

- Contributions to the Reducing Reoffending Programme through participation at national working groups, including the FRAME Working Group, LS/CMI Working Group, Risk Assessment and Management Work Stream for Young People Group and Effective Community Disposals Project Implementation Board.
- Participation in other relevant groups including MAPPA<sup>10</sup>, the Forensic Network Risk Strategy Group, the National Outcomes and Standards Advisory Group and ACPOS<sup>11</sup> Offender Management Working Groups.
- Development of relationships with COPFS<sup>12</sup> and Criminal Justice & Parole Division to support working links between the Parole Board and Risk Management Plans.
- Partnership links developed with the Swedish Ratsmedicinalvert and the Portuguese Ministry of Justice.
- The delivery of a series of events to support the national roll out of the LS/CMI risk assessment tool, contributing to the sharing of expertise and good practice.
- The delivery of two international conferences that highlighted best practice in risk assessment and management. More detail on these events are included on page 19.

<sup>10</sup> Multi Agency Public Protection Arrangements

<sup>11</sup> Association of Chief Police Officers in Scotland

<sup>12</sup> Crown Office and Procurator Fiscal Services

**Strategic Aim 2 – To promote Scotland as an international leader in Research & Innovation in the field of offender risk assessment and risk management**

The RMA promotes Scotland as an international leader through its contributions to research and evaluation, and its work to develop a consistent shared approach to risk management practice through FRAME. In achieving this aim we undertake collaborations with partners that include local authorities, associations, 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 the Scottish Government through our contributions to key project activities.

Notable activity during 2010-11 supporting this strategic aim included:

- Creation of the policy document to underpin FRAME. Following consultation with partners, adoption of the policy document is anticipated in summer 2011.
- The establishment of the fundamental principles and standards of FRAME to facilitate a consistent approach to risk assessment and management.
- Evaluations of Risk Management Plans (RMP's) and Risk Assessment Reports (RAR's) to ensure alignment to the principles of FRAME.
- Reports upon the pilot phase of national implementation of the LS/CMI risk assessment tool, providing recommendations on training and quality assurance.
- An evaluation of the implementation of the SA07 risk assessment tool in Scotland to inform the adoption of quality improvement measures.

**Key Facts for 2010-11:**

*Created the FRAME Policy document via support from stakeholders, to facilitate a consistent approach to risk assessment and management across agencies and professional groups*

**Strategic Aim 3 – To continuously improve risk practice through setting the standard and promoting compliance amongst our stakeholders**

The RMA undertakes to extend and advance the value of standard setting for risk practice. We utilise feedback to update existing standards and support Scottish Government objectives by developing guidelines. We also accredit methods of risk assessment and risk management and provide resources to ensure that a commitment to continuous learning and improvement is promoted through the dissemination of research literature. Finally, under this strategic aim we offer guidance to risk management teams.

During 2010-11, notable activity supporting this strategic aim included:

- The implementation of new structures for the processing of RMP's and Annual Implementation Reports (AIR's), with revised RMP's now produced only where a significant change has occurred, and AIR's now initially reviewed by RMA staff.
- The accreditation of 3 new assessors, bringing the total number of accredited assessors to 17.
- The approval of 8 assessor re-accreditation applications.
- The implementation of a new quality assurance mechanism for RAR's, to ensure adherence to the RMA's Standards & Guidelines.
- Further updates to our RATED publication, implementing changes to the layout and structure of the document and an external review process completed as part of the delivery of version 3.
- The delivery of Risk Assessment Report Writing module training to an initial group of practitioners.

**Key Facts for 2010-11:**

*Developed new structures for the processing of Risk Management Plans, and created quality assurance processes for Risk Assessment Reports, providing robust mechanisms for the assessment and minimisation of risk*

**Strategic Aim 4 – To raise the standards in risk assessment and management by facilitating and extending access to RMA standards and guidelines through education and training**

The RMA encourages skills development activities and education in the field of risk assessment and risk management. We support good practice at each level of FRAME through the identification or development of a range of learning resources, including our training programmes and distance learning resources.

During 2010-11, notable activity supporting this strategic aim included:

- Contributions to the design and delivery of the national roll out of LS/CMI - evaluating the pilot phase, informing the development of the training materials and facilitating training events.
- Development of the RMA website to allow online evaluations of the LS/CMI roll out to be gathered.
- A continuation of the development of the Applying FRAME CD Rom.
- The holding of regular CPD events for accredited assessors.
- A revision of the content of the Risk Management Planning and Practice (RMPP) course.

**Key Facts for 2010-11:**

*Contributed to the training and evaluation of the national roll out of the LS/CMI: the comprehensive risk assessment and case management system that forms the common core instrument for use within the Scottish Prison Service and Criminal Justice Social Work*

**Strategic Aim 5 – To increase efficiencies and effectiveness of internal processes and use of resources with the aim of improving the service we deliver**

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

During 2010-11, notable activity supporting this strategic aim included:

- A review of HR policies and procedures, including a revision of the RMA staff handbook.
- The creation of the new “supporting best practice” section of the RMA website for learning initiatives, facilitating evaluation processes for the LS/CMI.
- Investigations of a new secure case management IT system for the holding of restricted documents.
- The creation of new financial processes including a purchase order system and procedures manual.
- The implementation of a contracts log to aid budget planning.
- The implementation of a new business plan reporting system.
- The adoption of new brand identity guidelines for the production of corporate documents and communication materials.

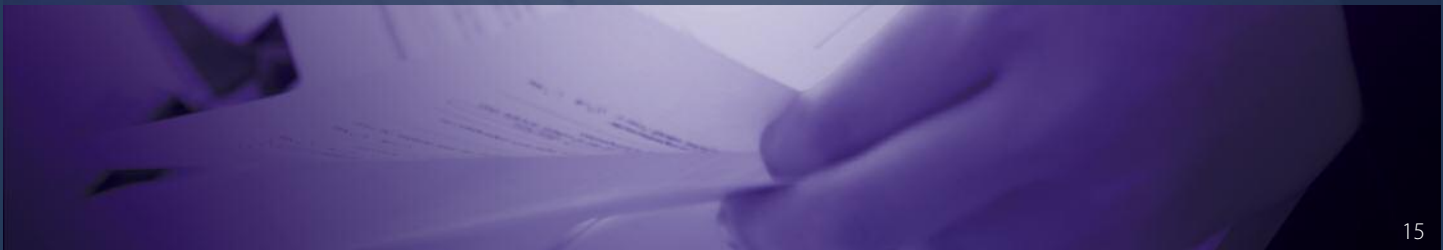
**Key Facts for 2010-11:**

*Created a new RMA website which facilitates greater levels of engagement with partner organisations, hosting evaluation forms to support the roll out of the LS/CMI risk assessment and case management system*



The RMA promotes Scotland as an international leader through its contributions to research and evaluation, and its work to develop a consistent shared approach to risk management practice through FRAME.

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## 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**, **Strategic Aim 2 – Research & Innovation** and **Strategic Aim 4 – Raising the Standard**. In all cases our key projects were supported by our progressive engagement with key stakeholders.

### Stable & Acute 2007

The RMA was charged with the task of examining the implementation of the SA07 dynamic risk assessment tool for sexual offenders in Scotland.

The aim of the RMA's study was to identify any difficulties with the application of the instrument in Scotland and make recommendations for improvements in practice and quality control. During 2010-11 RMA staff prepared project update reports for consideration by our Research & Training Committee and the FRAME Working Group. Research work was also completed and feedback sessions held with practitioners from five areas across Scotland. The delivery of findings from the evaluation project to front line staff has been well received; the responses from both practitioners and team leaders / line managers have identified needs for continuing support of the implementation of the instrument and for quality assurance measures to guide refresher training. Meetings and focus groups were held with the SA07 trainers from the Police, CJSW<sup>13</sup> and SPS<sup>14</sup>, with subsequent recommendations taken back to the Working Group. The final report on SA07 has now been drafted and it is anticipated that it will be provided to the relevant Scottish agencies early in 2011-12.

### RATED

The Risk Assessment Tool Evaluation Directory (RATED) has proved to be a valuable resource for academics and practitioners in the field of risk assessment and risk management. 2010-11 saw a further development of the content and format of this RMA publication, with a final draft of version 3 reviewed by an external research advisor. This review provided a range of comments and suggestions for the final editing stage.

The next edition of RATED will evaluate the content and empirical support of over 70 risk assessment tools, categorised as tools for general application; tools for assessing violence risk; tools for assessing sexual violence risk; tools for assessing children and young offenders; and a new section on treatment readiness and responsivity. It is anticipated that RATED version 3 will be published in 2011-12.



<sup>13</sup> Criminal Justice Social Work

<sup>14</sup> Scottish Prison Service





## FRAME

The concept of FRAME is underpinned by the need to develop a standard framework that promotes and evaluates proportionate, meaningful and purposeful practice in risk assessment and risk management of violent and sexual offenders. Taking this forward in 2010-11, the RMA collaborated with key partners including ACPOS, ADSW<sup>15</sup>, SPS and others involved in the Reducing Reoffending workstreams, to develop a policy paper that incorporates agreed foundations, guiding principles and practice standards of risk assessment and management practice. This document forms an important step in the process of moving towards implementation on related deliverables within the FRAME project. Other key projects provide interfaces for FRAME, and work was conducted by the RMA to review the format of Risk Management Plans, LS/CMI templates, MAPPA guidance, handbooks for accredited assessors and the Standards & Guidelines for Risk Assessment and Risk Management, to ensure the principles of FRAME were reflected.



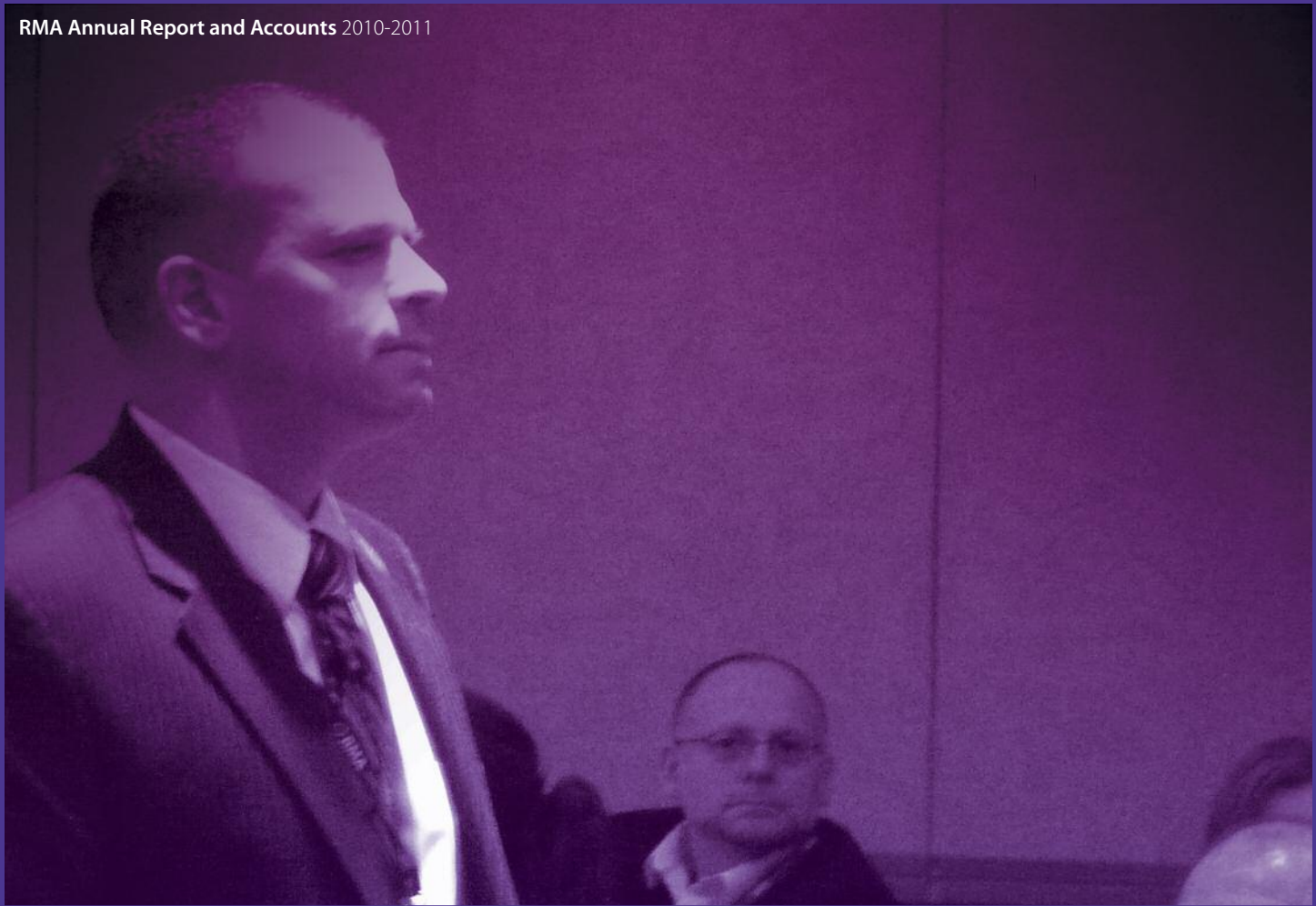
## Level of Service / Case Management Inventory (LS/CMI)

The LS/CMI is a comprehensive risk assessment and case management system. 2010-11 saw the national implementation of this instrument for use within both the SPS and CJSW, with RMA staff tasked to provide significant levels of support. Approximately 1,000 practitioners are to be trained, with expected applications of the instrument to be 40-50,000 each year.

Key items of work undertaken by the RMA included an analysis of the Renfrewshire pilot study, which involved holding challenge exercises with the original trainees, and providing recommendations supplemented by qualitative work and focus groups. The final report on the pilot phase has been peer reviewed and is now scheduled for completion.

A range of support was provided as part of the national roll out in October 2010, with guidance manuals reviewed, train the trainer events facilitated and evaluation mechanisms developed. The RMA's indepth involvement in this project will continue in 2011-12, as the implementation phase including the electronic version of LS/CMI is continued across Scotland. The aim is to train every criminal justice social worker in Scotland in the use of the instrument. This involves a five day course followed by a half-day IT training session. The RMA supports the training and carries out pre-training briefings to prepare local authorities for the events. Additionally, post-training evaluations and quality assurance measures are being developed and implemented in consultation with area managers. The results from each follow up exercise are fed back to managers and training officers for each region.

<sup>15</sup> Association of Directors of Social Work



"A thoroughly engaging event with serious implications for future practice."

"An excellent event with relevant, informed and well presented material."

"Very high quality both in relation to content and presentation."

**Working In Partnership, March 2011**

*Working towards a Safer Scotland*



## Conferences and events

The RMA views the promotion of best practice as a key function of its operations. It also seeks to promote Scottish achievements in the field of offender risk assessment and risk management to a wider audience, helping to foster joint working opportunities and establish new practices. To achieve this aim, the RMA delivers conferences, events and seminars that bring prominent academics, practitioners and strategists together to highlight initiatives and approaches that facilitate positive working practices.

This section of the report focusses on two of those events, where the concept of FRAME and the promotion of *working in partnership* was introduced to an international audience:

The RMA held the first of its *working in partnership* events in May 2010, titled "Principles and Values in Multi-agency Risk Management". The conference focused on the principles that underpin decision making within a multi-agency context, and the challenge of working towards a consistent and shared approach to risk management practice. The RMA were delighted to have five eminent speakers, all leading national and international experts in the field, who shared thoughts on the guiding principles of defensible, ethical and evidence based risk practice.

The speakers and topics were:

**Professor Bernadette McSherry from Monash University**

– Ethical risk assessment for the courts

**Professor Mary McMurrin from Nottingham University**

– Engaging offenders in treatment

**Professor Hazel Kemshall from De Montfort University**

(RMA Board member)

– Risks, rights and justice

**Professor Fergus McNeil from the Glasgow School**

**of Social Work**

– Supporting desistance pathways

**Doctor Joanne Wood from Greater Manchester**

**Probation Trust**

– MAPPA and offenders

The mixture of keynote speeches and workshops created valuable opportunities for delegates to debate issues and develop partnership working arrangements. Over 150 delegates from a variety of backgrounds and locations attended the event. A full evaluation report was compiled that showed 70% of attendees strongly agreed that the event was "worthwhile" and "relevant", with 99% of attendees stating they had learned from the event.

The RMA delivered the second working in partnership event in March 2011. Titled "Engaging in Change: new directions, new approaches in criminal justice practice", this ambitious conference brought together leading lights from across the world to talk to an equally international audience on the new and exciting developments in risk practice.

Building upon the strong foundations of the first working in partnership conference, this event sought to raise key considerations about whether we can:

- equip our practitioners with the skills and qualities that engage and promote change in individuals?
- support them through good practice supervision?
- quality assure risk assessment practice?
- deliver services from agencies committed to effective practice?
- implement new initiatives with integrity?

Through careful promotion of the event, the RMA were able to attract its target audience of managers and practitioners, holding a two day event that provided a rare opportunity for delegates to discuss and debate the merits of new approaches with the key exponents of these practices.

115 delegates, including practitioners from across the UK, Ireland, Portugal and Sweden participated in this valuable two day event, with keynote addresses and workshops delivered by prominent figures. The event speakers and topics were:

**Doctor Christopher Lowenkamp from the Office of Probation and Pretrial Services, United States**

– The journey towards evidence-based practice

**Doctor Ralph Serin from Carleton University, Canada**

– Structured release decision making framework

**Doctor Guy Bourgon from the University of Ottawa, Canada**

– Moving Risk Needs Responsivity beyond policies into everyday practice

**Doctor Pamela Ugwudike from Swansea University, Wales**

– Unravelling the implementation and impact of probation supervision skills

Full details of the conference materials are available via contacting us at [info@rmascotland.gsi.gov.uk](mailto:info@rmascotland.gsi.gov.uk)

## The Order for Lifelong Restriction: Accreditation and Risk Management Plan approval processes 2010-11

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'<sup>16</sup>, it will make a Risk Assessment Order (RAO). With this order an Assessor accredited by the RMA is appointed to produce a Risk Assessment Report (RAR). 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 RAO 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 RMA'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;
- To 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 2010-11:

**3** accredited assessor applications approved

**8** re-accreditation applications approved

Meetings of the Accreditation Committee are held monthly with extraordinary meetings held as required. In 2010-11 the committee was convened for one extraordinary meeting, providing a total of thirteen meetings over the 12 month period.

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. It should be noted that accredited assessors are not employees of the RMA and are commissioned directly by the High Court.

During 2010-11, the RMA received and processed eight applications for accredited assessor status. Of these applications three were approved and one deferred, with one application still under consideration. The RMA also processed and approved eight applications for re-accreditation during the 2010-11 period, bringing the total number of assessors accredited to undertake RARs on behalf of the High Court to seventeen. (*see fig 1*)

The steady increase in the number of accredited assessors has kept pace with the volume of RAOs issued by the High Court, and going forward has provided a cohort capable of meeting anticipated activity levels.

<sup>16</sup> Section 210E of the Criminal Justice (Scotland) Act 2003 Part 1

Towards the end of the year the Accreditation Committee instructed reports regarding the number of assessors, to review current arrangements. The committee subsequently decided upon the introduction of a cap on the number of accredited assessors, allowing a suitable arrangement to exist whereby assessors are commissioned by the High Court on a regularity that allows the building of expertise and knowledge on this process.

The RMA also facilitates a comprehensive programme of continuous professional development for the accredited assessors, comprising training events, attendance at relevant conferences and regular meetings that bring the assessors together. In 2010-11 accredited assessors attended training on SARA, data protection and courses on assessment and treatment.

As part of an ongoing review of current processes, the Accreditation Committee approved the introduction of a quality assurance mechanism for RARs, to support adherence to the RMA Standards & Guidelines.

The number of RAOs instructed in 2006-07 and 2007-08 demonstrate the early adoption of the legislation. The figures

recorded from 2008-09 to 2010-11 are comparable, varying between 26 and 29. To date a total of 97 RAOs have been recorded, of which 92 have been concluded (5 to carry forward into 2011-12). (see fig 2)

Key Facts for 2010-11:

**26** Risk Assessment Orders (RAOs) instructed by the high court

**21** Risk Assessment Reports (RARs) concluded

*It should be noted that RAOs 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).*

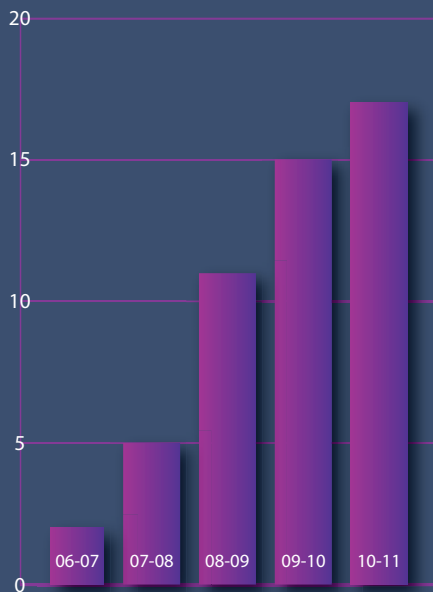


Fig 1. Number of Accredited Assessors

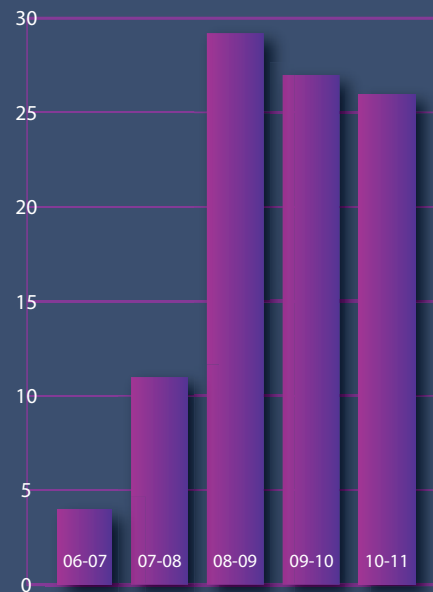


Fig 2. Number of Risk Assessment Orders issued by the court in each year

Key Facts for 2010-11:

**19** *Orders for Lifelong Restriction (OLRs) imposed by the High Court*

The RMA continues to monitor and study the application of the Criminal Justice (Scotland) Act 1995, with each years' statistics building a more detailed picture of its usage. At the outset of the OLR legislation coming 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 19 OLRs recorded for 2010-11 remains above the initial estimate figure but represents a drop in the total collated for 2009-10. (*see fig 3*)

Accredited Assessors carry out risk assessments and relay their findings to the High Court with the RAR. The High Court then decides whether to impose an OLR. Since the inception of the legislation to March 2011, the 92 concluded RARs have resulted in a total of 66 offenders being sentenced to an OLR. (*see fig 4*)

The Criminal Justice (Scotland) Act 2003 requires the approval by the RMA of a Risk Management Plan (RMP) for each offender sentenced to an OLR, within nine months of the date of sentence. Thereafter cases are reviewed annually with implementation reports submitted to the RMA.

The RMA has devolved governance of this process to the Risk Management Plan Approval Committee whose functions are:

- To approve RMPs submitted by Lead Authorities for offenders subject to an OLR;
- Receive annual reports on the implementation of approved Risk Management Plans;
- Oversee the RMP process; and to;
- Set and amend policy in the area of RMPs.

The purpose of the RMP is to ensure that risk is properly managed on a multi-disciplinary basis. Agencies with statutory responsibilities for the offender such as the SPS, local authority social work services and health services providers, must collaborate in the preparation of the RMP. The agency responsible for writing the RMP and submitting it to the RMA 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 RMP 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 2010-11:

**53** *Risk Management Plans (RMPs) approved*

**18** *Annual Implementation Reports (AIRs) reviewed by the RMP Committee*

**16** *Annual Implementation Reports (AIRs) reviewed by RMA staff*

In this reporting year, 53 RMPs were approved and a total of 34 Annual Implementation Reports (AIR) were reviewed by the RMA, all within legislative timescales.

Meetings of the Risk Management Plan Approval Committee are held monthly with extraordinary meetings held as required. In 2010-11 the committee was convened for 3 extraordinary meetings, providing a total of 15 meetings over the 12 month period.

A significant change to the processing of RMPs and AIRs was implemented by the RMP Approval Committee in October 2010. Prior to this change, the submission of an initial RMP (for each offender subject to an OLR) by lead authorities would thereafter be followed by the submission of implementation reports for review alongside a new RMP for approval in each subsequent year.

From October 2010 this process was modified so that subsequent RMPs would now only be produced when merited by a significant change in the offenders circumstances. The processing of AIRs was also changed, with RMA staff now conducting the review of these plans, referring them to the Committee where necessary. A process of quality assurance was also instigated.

Going forward, the changes will adjust case volumes to a more manageable level for the Committee and lead authorities, whilst placing greater emphasis on the outputs of RMA staff. (see fig 5)

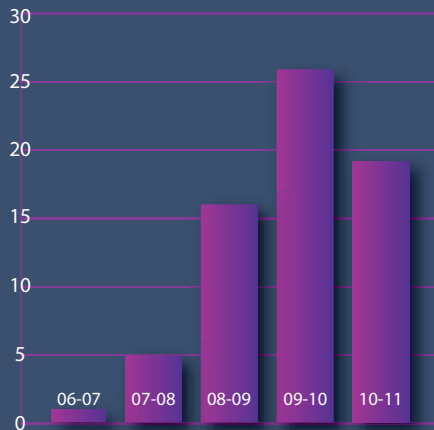


Fig 3. Number of offenders sentenced to an Order for Lifelong Restriction in each year

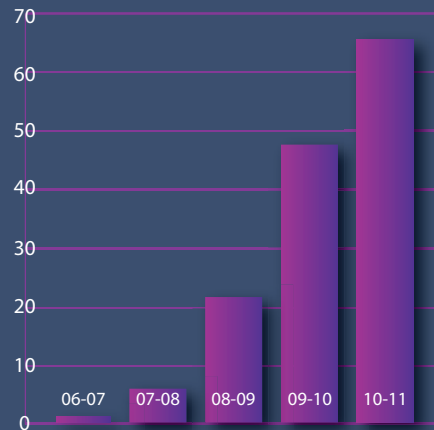


Fig 4. Cumulative number of offenders subject to an Order for Lifelong Restriction

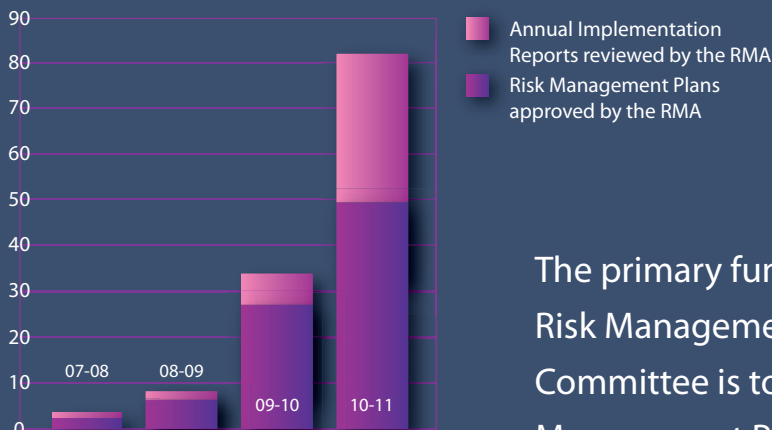


Fig 5. Risk Management Plan Approval Committee Case Review

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

## Board and Senior Staff

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 six Committees to ensure informed decision and policy making.

The Committees are:

### Accreditation Committee

- to take decisions on the accreditation of assessors and manners of assessment

### Appeals Committee

- to consider and decide any appeals lodged with the RMA against a decision by the Accreditation Committee

### Audit Committee

- to support the Accountable Officer responsible for issues of risk, control and governance and associated assurance through a process of constructive challenge

### Remuneration Committee

- to consider and make recommendations to the Board and Scottish Ministers on pay policy and the annual pay award for the Chief Executive and staff

### Research & Training Committee

- to provide the strategic direction for the RMA's research and training programme. The Scottish Government is represented on the Research and Training Committee through a nominee from the Effective Practice Unit (EPU) within the Justice Department

### Risk Management Plan Approval Committee

- to take decisions and approve Risk Management Plans submitted by lead authorities.

Appointments to the Board of the Risk Management Authority are made by the Scottish Ministers. During the year there were three changes to report:

### New Appointments: Dr Joanne Wood

The RMA was pleased to announce the appointment of a new psychologist member to the Board in August 2010. The new psychologist member is Dr Joanne Wood, who is a Chartered Forensic Psychologist for Greater Manchester Probation Trust. Dr Wood's clinical work centres on the assessment and management of risk posed by sexual and violent offenders supervised under Multi-Agency Public Protection Arrangements (MAPPA). Dr Wood holds no other Ministerial appointments. The appointment runs from 1 August 2010 and ends on 31 July 2015. This Ministerial public appointment was made in accordance with the Commissioner for Public Appointments in Scotland's Code of Practice.

### Appointments ended: Ms Morag Slesser

The Board wish to extend their gratitude and best wishes to Ms Morag Slesser who stepped down from the RMA Board in June 2010. Ms Slesser served on the RMA Board for more than five years and during that time was a member of the RMA Risk Management Plan Approval Committee and Accreditation Committee, as well as the Chair person of the RMA Research & Training Committee. Ms Slesser brought a wealth of practice experience to the RMA Board through her role as a Chartered Clinical and Forensic Psychologist at the State Hospital, Carstairs.

### Appointments extended: Mr Peter Withers

The appointment of Mr Peter Withers has been extended from September 2010 to September 2015.

The RMA Board members are:

### Convener:

Mr Peter Johnston

### Board Members:

Professor Jim McManus

Mr Peter Withers

Professor Don Grubin

Professor Hazel Kemshall

Mr Jim Green

Dr Anne MacDonald

Dr Joanne Wood (appointed August 2010)

Ms Morag Slesser (appointment ended June 2010)

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

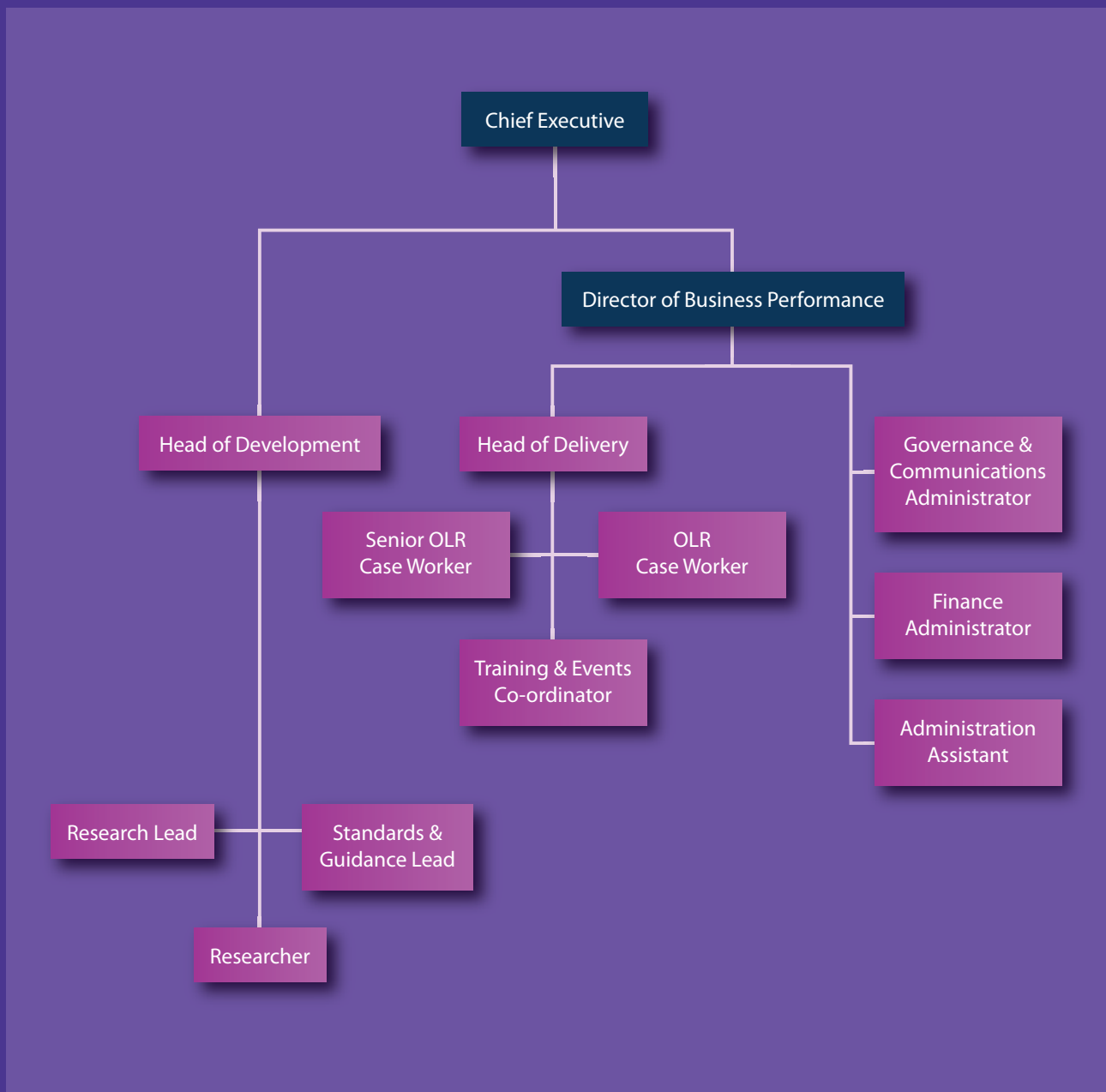
Yvonne Gailey was appointed Chief Executive on 27th May 2009 and is the Accountable Officer for the Risk Management Authority. Ms Gailey took up the Chief Executive post following three years as Director of Operations and Development within the RMA. This followed five years in training and consultancy, involved in introducing risk assessment tools and effective practice initiatives in Scotland's youth and criminal justice sectors. Ms Gailey 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.



## Staff Resource

Paul Keoghan joined the RMA on 26 January 2009 as Director of Business Performance. In supporting the governance arrangements of the RMA Mr Keoghan oversees all of the Authority's corporate services functions including finance, policy, communications, IT, audit and administration, and ensures the RMA adheres to the Best Value and financial procedures laid out by the Scottish Government.

A key contributor to the success of the RMA is its staff resource. The RMA has a small structure of 13 staff and places great emphasis on the continued development of its staff members to support the achievement of annual objectives. The RMA operates its pay and performance systems using the Hay methodology and rewards staff contributions through remuneration arrangements as dictated by Scottish Government Pay Policy. The RMA staff structure was recently revised to facilitate increasing OLR case management-workload levels, ensuring the RMA's continued high performance in this area.



The RMA staff structure, revised in the previous financial year, was fully implemented in 2010-11. As a result of the new staff structure implementation, five new members of staff were recruited to bring the total number of permanent staff employed by the Authority to thirteen.

Key Facts for 2010-11:

**5** *New members of staff recruited by the RMA*

Position	Recruitment date
Finance Administrator	May 2010
Governance & Communications Administrator	June 2010
Temporary Research Assistant	June 2010
Head of Development	October 2010
Standards & Guidance Lead	October 2010

During the year three members of staff left the RMA, two of these being fixed term appointments:

Position	Date left
Head of Development	August 2010
Temporary Research Officer	January 2011
Temporary Research Assistant	March 2011

The RMA aims to realise the potential of all staff members and supports their continued professional development through investment in training and opportunities to attend relevant seminars and conferences. Staff are also subject to a comprehensive system of performance review and are encouraged to improve their skills and expertise on an ongoing basis as part of their work for the RMA.

The high levels of recruitment activity in 2010-11 influenced the number of training courses and conferences attended. Courses attended included training on HCR-20<sup>17</sup> and SARA<sup>18</sup> risk assessment tools, data protection, data security and job evaluation. Conferences attended included the NOTA<sup>19</sup> conference in September 2010 and the SASO<sup>20</sup> conference in November 2010.

<sup>17</sup> HCR-20 Risk Assessment Tool

<sup>18</sup> SARA Spousal Assault Risk Assessment

<sup>19</sup> NOTA National Organisation for the Treatment of Abusers

<sup>20</sup> SASO Scottish Association for the Study of Offending

## Freedom of Information

The Freedom of Information (Scotland) Act 2002 (FOISA) provides individuals with a right of access to all recorded information held by Scotland's public authorities. Anyone can use this right, and information can only be withheld where FOISA expressly permits it. Section 23 of FOISA also requires that all Scottish public authorities maintain a publication scheme. The RMA's publication scheme sets out the types of information that we routinely make available. This scheme was approved by the Scottish Information Commissioner, who is responsible for enforcing FOISA.

In developing this scheme, the RMA has been mindful of the value, both to the public, and to our operation, of the principles of openness and transparency.

Key Facts for 2010-11:

**23** *Freedom of Information requests received by the RMA*

In 2010-11 the RMA received 23 FOI requests. 21 of these requests were responded to within the legislative guidelines of 20 working days. The remaining 2 requests were responded to in 21 working days.

Key Facts for 2010-11:

**8** *RMA staff attended 22 training courses during the year*

**5** *RMA staff attended relevant conferences*

## Future Strategic Developments

Our 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 strategic vision, based on *five business drivers*, is reflected in our Business Plan for 2011/12. The Business Plan outlines the Local Performance Targets and corresponding Key Performance Indicators that will contribute to each business driver.

In summary, the RMA 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 RMA will concentrate on during the next reporting year are:

### Driver 1: Best Practice

- To engage key stakeholders in the implementation stage of FRAME.
- Maintain continued presence in existing national working groups.
- Further develop effective arrangements with key partners.
- Deliver a series of seminars to support the ongoing roll out of national initiatives.
- Deliver papers and presentations at relevant conferences.

### Driver 2: Research and Innovation

- Prepare papers on RMA projects for publication in peer-reviewed journals.
- Further develop the RMA website to support national programmes.
- Support the improvement initiatives of SA07.

### Driver 3: Setting the Standard

- Engage with education establishments regarding RMA practice standards.
- Formalise our relationship with the Prison Service and Police Service training colleges.
- Produce handbooks for accredited assessors and case managers.
- Finalise the revision of the Applying FRAME CD Rom.



### Driver 4: Raising the Standard

- Deliver a series of RMPP courses.
- Prepare materials and support the development of a pilot on enhancing one to one supervision practices.
- Define a competency specification required to practice within FRAME.
- Provide support to the LS/CMI training programme - evaluating test results, providing recommendations and supporting national trainers.

### Driver 5: Improving the Standard

- Extend the use of the RMA website to support project initiatives.
- Implement Scottish Government eRDM system for restricted documents.
- Review the staff appraisal system.
- Develop a monitoring system to demonstrate environmental policy actions.



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*

## Financial Performance

### Introduction

These annual accounts report the results of the RMA for the year 1 April 2010 to 31 March 2011. They have 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. The Accountable Officer authorised these annual accounts for issue on 25 July 2011.

### Financial results

The RMA is financed through Grant-in-Aid from the Scottish Government Criminal Justice Directorate. The Scottish Ministers are answerable to the Scottish Parliament for the RMA and are responsible for making financial provision to meet the RMA's needs.

The financial statements for the year ended 31 March 2011 are set out in pages 39 – 40. The Notes to the annual accounts on pages 41 – 46 form part of the annual accounts.

For the year 2010-11 the RMA had a net operating budget of £1,000,000, which was funded via grant in aid by Scottish Government. The budget was agreed at £1,015,000, of which £15,000 would be supported from income generated by the RMA.

2010-11 was the first year the RMA actively sought to generate income from the hosting of its conferences and events. The total actual income generated from these activities amounted to £32,000, which was £17,000 in excess of budget.

Total actual expenditure for 2010-11 amounted to £987,000, which was £28,000 lower than the agreed budget provision. This underspend was primarily due to the RMA undertaking a staff restructure during 2010-11 which resulted in several posts remaining vacant for part of the year. This resulted in savings against staff costs.

The accounts show net operating costs of £955,000, which resulted in a saving against budget provision of £45,000.

### Changes in Non-Current Assets

The RMA has invested £24,000 in the acquisition of non-current assets during the year.

### Post Year-End Activities

Since the end of this reporting year there are no significant post year-end activities to report.

## Public Interest Reporting

### Charitable Donations

No charitable donations were made in the year ended 31 March 2011.

### Payment Performance

In line with Scottish Government the RMA's policy for the payment of invoices, not in dispute, is within 10 days of receipt (or the agreed contractual terms if otherwise specified). The RMA aims to pay 100% of invoices, including disputed invoices once the dispute has been settled, within these terms.

Overall, the RMA paid 92% of all invoices received within the terms of the payment policy. Of the 8% of invoices not paid within the terms of the policy, payment in 100% of these was beyond the RMA's control due to technical problems with the Scottish Government payment system and delays in the submission of payment details by new suppliers. No invoices processed were paid late as a result of incorrect payment terms being recorded by the RMA. This compares with performance in 2009-10 whereby late payments amounted to 4%.

The RMA observes the principles of the Better Payment Procedure Code.

### Equal Opportunities

The RMA is committed to ensuring equal opportunities for all employees and potential employees. The RMA adheres to its equal opportunities policy in all working practices.

### People with Disabilities

The RMA'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 RMA is based solely on ability, qualifications and suitability for the role.

### Staff Involvement and Development

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

During 2010-11 the RMA employees attended twenty two training courses and five conferences/seminars. This compared with 2009-10 where the RMA employees attended thirty one training courses and nine conferences/seminars.

The RMA encourages staff involvement in the business planning processes and the on-going development of the RMA's work. A corporate training strategy and individual personal development plans were adhered to during 2010-11 for the on-going development of all staff. The RMA holds a regular cycle of staff team meetings. In addition, all staff members are actively encouraged to attend corporate events such as conferences and seminars and team-working is promoted to increase awareness of their colleagues' roles and responsibilities.

### Sickness Absence Data

During the year the RMA has seen an increase in the level of absence due to sickness. A total of 217 days was recorded as absence due to sickness, representing an absence rate of 5.66%. This compares to a total absence of 141.5 days in 2009-10 indicating an absence rate of 4.96%.

### Personal Data Incidents

There were no personal data incidents reported in this financial period.

### Pension Costs


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

### Auditors

The annual accounts of the RMA 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 RMA'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 RMA's auditors were aware of that information.



**Yvonne Gailey**  
Chief Executive and Accountable Officer  
25 July 2011

## Remuneration Report

### The Convener and Board Members

The Convener and Board Members are public appointments made by the Scottish Ministers under the procedures set by the Office of the Commissioner for Public Appointments. The Convener is appointed for a term of 4 years which will end on 30 June 2012.

The Convener and Board Members are paid an annual salary which is set by the Scottish Ministers. The salary rate is increased annually in line with the percentage uplift agreed by the Scottish Government Senior Salary Review Board. The Convener and Board Member appointments are not pensionable.

The RMA has in place a Remuneration Committee, current membership of the Committee is Mr Peter Johnston, Mr Peter Withers, Mr Jim Green and Dr Anne MacDonald. The Committee's function is to make recommendations to the Board and the Scottish Ministers on a range of pay policy matters including the level of annual pay award for the Chief Executive.

### Statement on the policy of the remuneration of the Chief Executive

The Board, in conjunction with the Scottish Government, agree a salary range for the Chief Executive and agree a starting salary within that range. The Board further agree that the Chief Executive's pay would be reviewed annually and any pay award for the Chief Executive would be dependent on performance. The current Chief Executive assumed post on the 27 May 2009.

Pay awards for the Chief Executive must be approved by the Scottish Ministers. The Chief Executive's performance is assessed by the Convener of the Risk Management Authority using a system of annual appraisal and the performance conditions are based on achievement of the RMA's annual business plan and corporate plan objectives.

The Chief Executive is a permanent appointment with a three month notice period. There are no early termination payment clauses within the contract.

The Chief Executive post is pensionable under the civil service pension arrangements.

Appointments to the Risk Management Authority are based on merit and on the basis of fair and open competition.

### Statement on the policy of the remuneration of the Director of Business Performance

The remuneration of the Director of Business Performance is set by the Board, subject to the Scottish Ministers' approval. As part of the appointment process, and in conjunction with the Scottish Government, the Board agree salary ranges for the Director of Business Performance and agree starting salaries within that range. The Director of Business Performance's salary is reviewed annually as part of the pay remit process for all staff of the RMA, with the exception of the Chief Executive. The current Director of Business Performance assumed post on 26 January 2009.

Pay awards for the Director of Business Performance are dependent on performance. Performance is assessed by the Chief Executive using a system of annual appraisal and the performance conditions are based on achievement of agreed personal objectives, based on the annual business plan and corporate plan objectives.

The Director of Business Performance is a permanent appointment with a three month notice period. There are no early termination payment clauses within the contract.

The Director of Business Performance post is pensionable under the civil service pension arrangements.

Appointments are based on merit and on the basis of fair and open competition.

### Remuneration and Pensions

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

## Remuneration

The following tables provide a breakdown of executive and non-executive directors' remuneration in 2009-10 and 2010-11 and have been audited by the Risk Management Authority's auditors.

### Executive & Non-Executive Directors' Remuneration

	2010-11 Salary (£'000)	2009-10 Salary (£'000)
Mr Peter Johnston, Convener	5 - 10	5 - 10
Professor Jim McManus, Board Member	5 - 10	5 - 10
Ms Morag Slessor, Board Member (until 31 May 2010)	0 - 5	5 - 10
Mr Peter Withers, Board Member	5 - 10	5 - 10
Professor Don Grubin, Board Member	5 - 10	5 - 10
Professor Hazel Kemshall, Board Member	5 - 10	5 - 10
Mr Jim Green, Board Member	5 - 10	5 - 10
Dr Anne MacDonald, Board Member	5 - 10	5 - 10
Dr Joanne Wood, Board Member (from 1 August 2010)	0 - 5	-
Ms Yvonne Gailey, Chief Executive	65 - 70	60 - 65
Mr Paul Keoghan, Director of Business Performance	55 - 60	55 - 60

### Performance Related Pay

	2010-11	2009-10
Mr Paul Keoghan, Director of Business Performance	1,379	-

### Pension Benefits

	Accrued pension at age 60 as at 31/3/11 and related lump sum	Real increase in pension and related lump sum at age 60	CETV at 31/3/11 £'000	CETV at 31/3/10 £'000	Real increase in CETV £'000
<b>Executive Director</b>					
Ms Yvonne Gailey	5.0 – 7.5	0 – 2.5	83	59	17
Mr Paul Keoghan	2.5 – 5.0	0 – 2.5	23	12	8

### Salary

'Salary' includes gross salary; 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.

### Performance Related Pay

Performance pay or bonuses are disclosed separately in the year in which they become payable.

### Benefits in kind

None were payable in the year.



### Pensions

Pension benefits are provided through the Civil Service Pension arrangements. Employees may be in one of the statutory based 'final salary' defined benefit schemes (classic, premium, classic plus, nuvos or partnership). The Schemes are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions payable under classic, premium, classic plus, and nuvos are increased annually in line with changes in the Retail Prices Index. Staff can 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, classic plus, and nuvos. 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. Under nuvos, an employee's pension account will be credited with a proportion of pensionable earnings in the year, the pension build-up factor is currently 2.3%. The pensionable age under nuvos is 65; if an employee draws their pension before this time their pension will be reduced for early payment, and if an employee draws their pension after this time their pension will be increased for late payment. Under nuvos the employee can give up part of their pension for an optional tax free lump sum, although the HMRC limits the amount of lump sum.

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.



**Yvonne Gailey**  
Chief Executive and Accountable Officer  
25 July 2011

## Statement of the Risk Management Authority and Accountable Officer's Responsibilities

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 that are reasonable and prudent;
- 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 Government Justice Department designated the Risk Management Authority's Chief Executive, Ms Yvonne Gailey, as the Accountable Officer for the Risk Management Authority. Responsibilities as Accountable Officer, including the 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 Risk Management Authority's assets, are set out in the Memorandum to Accountable Officers of Other Public Bodies.

The Accountable Officer is responsible for the maintenance and integrity of the corporate and financial information included on the Risk Management Authority's website. Legislation in the UK governing the preparation and dissemination of financial statements may differ from legislation in other jurisdictions.

## Statement of 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 set by the Scottish Ministers, whilst safeguarding the public funds and the Risk Management 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 Risk Management Authority;
- managing risk and resources; and
- accounting for the Risk Management Authority's activities.

The Scottish Public Finance Manual (SPFM) is issued by the Scottish Ministers to provide guidance to the Scottish Government and other relevant bodies on the proper handling and reporting of public funds. It sets out the relevant statutory, parliamentary and administrative requirements, emphasizes the need for economy, efficiency and effectiveness, and promotes good practice and high standards of propriety.

### The purpose of the system of internal control

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve the Risk Management 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 the principal risks to the achievement of the Risk Management Authority's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. The system of internal control accords with guidance from the Scottish Ministers provided in the SPFM and has been in place in the Risk Management Authority for the year ended 31 March 2011 and up to the date of approval of the annual report and accounts.

### Capacity to handle risk

Staff are trained or equipped to manage risk in a way appropriate to their authority and duties. The Risk Management Authority communicates its risk register to staff and has a framework for staff to report risk.

### 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 Scottish Ministers. The general principles for a successful risk management strategy are set out in the SPFM.

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

### Review of effectiveness

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

- The management team within the RMA who have responsibility for the development and maintenance for the internal control framework;
- The work of internal auditors, who submit to the RMA's Audit Committee regular reports which include the independent and objective opinion on the adequacy and effectiveness of the organisation's systems of internal control together with recommendations for improvement; and
- Comments made by the external auditors in their management letter and other reports.

I have been advised on the implications of the result of my review of the effectiveness of the system of internal control by the board, the Audit Committee and a plan to address weaknesses and ensure continuous improvement of the system is in place.

The internal control of the Risk Management 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 our external auditors whose findings are 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.

No significant internal control issues were identified during the course of 2010-11.



**Yvonne Gailey**  
**Chief Executive and Accountable Officer**  
25 July 2011

## Independent auditor's 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 2011, set out on pages 39 to 46. The financial reporting framework that has been applied in their preparation is applicable law and International Financial Reporting Standards (IFRSs) as adopted by the European Union, and as interpreted and adapted by the HM Treasury Financial Reporting Manual 2010-11.

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 Accountable Officer and auditor

As explained more fully in the Statement of the Risk Management Authority and Accountable Officer's Responsibilities set out on page 34, the Accountable Officer is responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view, and is also responsible for ensuring the regularity of expenditure and receipts. Our responsibility is to audit and express an opinion on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland) as required by the Code of Audit Practice approved by the Auditor General for Scotland. Those standards require us to comply with the Auditing Practices Board's Ethical Standards for Auditors. We are also responsible for giving an opinion on the regularity of expenditure and receipts.

### Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts, disclosures, and regularity of expenditure and receipts in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are

appropriate to the Authority's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Accountable Officer; and the overall presentation of the financial statements. In addition, we read all the financial and non-financial information in the Annual Report to identify material inconsistencies with the audited financial statements. If we become aware of any apparent material misstatements or inconsistencies we consider the implications for our report.

### Opinion on financial statements

In our opinion the financial statements:

- give a true and fair view of the state of the Authority's affairs as at 31 March 2011 and of its net operating costs for the year then ended;
- have been properly prepared in accordance with International Financial Reporting Standards as adopted by the European Union, as interpreted and adapted by the HM Treasury Financial Reporting Manual 2010-11; and
- have been prepared in accordance with the requirements of the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers.

### Opinion on regularity prescribed by the Public Finance and Accountability (Scotland) Act 2000

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

### Opinion on other matters prescribed by the Public Finance and Accountability (Scotland) Act 2000

In our opinion:

- the part of the Remuneration Report to be audited has been properly prepared in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers; and
- the information given in the Annual Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

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

### Matters on which we are required to report by exception

We have nothing to report in respect of the following matters where the Public Finance and Accountability (Scotland) Act 2000 requires us to report to you if, in our opinion:

- adequate accounting records have not been kept; or
- the financial statements and the part of the Remuneration Report to be audited are not in agreement with the accounting records; or
- we have not received all the information and explanations we require for our audit; or
- the Statement of Internal Control does not comply with Scottish Government guidance.

### S Reid

for and on behalf of KPMG LLP, Statutory Auditor

*Chartered Accountants*

191 West George Street

Glasgow

G2 2LJ

## Financial Statements and Notes

### Statement of Comprehensive Net Expenditure

For the year ended 31 March 2011

	Notes	2010-11 £'000	2009-10 £'000
<b>Expenditure</b>			
Staff costs	2	610	591
Other admin costs	3	377	484
Notional costs	4	-	(8)
		<b>987</b>	<b>1,067</b>
<b>Income</b>			
Income From Activities	5	(32)	
<b>Net Operating Costs</b>		<b>955</b>	<b>1,067</b>

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 2011

	Notes	2010-11 £'000	2009-10 £'000
<b>Non-current assets</b>			
Property, plant and equipment	6	33	19
Intangible assets	7	-	36
<b>Total non-current assets</b>		<b>33</b>	<b>55</b>
<b>Current assets</b>			
Trade and other receivables	9	14	-
Cash and cash equivalents	10	322	418
<b>Total current assets</b>		<b>336</b>	<b>418</b>
<b>Total assets</b>		<b>369</b>	<b>473</b>
<b>Current liabilities</b>			
Trade and other payables	11	245	373
<b>Total current liabilities</b>		<b>245</b>	<b>373</b>
<b>Total assets less current liabilities</b>		<b>124</b>	<b>100</b>
<b>Non-current liabilities</b>			
Provisions	12	24	12
<b>Total non-current liabilities</b>		<b>24</b>	<b>12</b>
<b>Total liabilities</b>		<b>269</b>	<b>385</b>
<b>Net Assets</b>		<b>100</b>	<b>88</b>
<b>Taxpayers equity</b>			
General fund		100	55
Deferred government grant		-	33
<b>Total taxpayers equity</b>		<b>100</b>	<b>88</b>

Signed on behalf of the Authority:



**Yvonne Gailey**  
Chief Executive and Accountable Officer  
25 July 2011

## Statement of Cash Flows

For the year ended 31 March 2011

	Notes	2010-11 £'000	2009-10 £'000
<b>Cash flows used in operating activities</b>			
Net operating cost		(955)	(1,067)
Adjustments for non-cash transactions			
Depreciation	6,7	46	45
Cost of capital	4	-	(8)
<b>Movements in working capital</b>			
Decrease/(Increase) in trade and other receivables	9	(14)	20
Increase/(Decrease) in trade and other payables	11	(128)	110
Increase in provisions		12	12
Release of government capital grant		(33)	(33)
<b>Net cash outflow from operating activities</b>		<b>(1,072)</b>	<b>(921)</b>
<b>Cash flows from investing activities</b>			
Purchase of property, plant and equipment	6	(24)	-
<b>Net cash flow used in investing activities</b>		<b>(24)</b>	<b>-</b>
<b>Cash flows from financing activities</b>			
Scottish Government Grant		1,000	910
<b>Net cash flow from financing</b>		<b>1,000</b>	<b>910</b>
<b>Net (decrease)/increase in cash and cash equivalents</b>		<b>(96)</b>	<b>(11)</b>
<b>Cash and cash equivalents at beginning of period</b>	10	<b>418</b>	<b>429</b>
<b>Cash and cash equivalents at end of period</b>	10	<b>322</b>	<b>418</b>

## Statement of Changes in Taxpayers' Equity

For the year ended 31 March 2011

	Notes	2010-11 £'000	2009-10 £'000
<b>General Fund</b>			
<b>Balance at 1 April 2010</b>		<b>55</b>	<b>220</b>
Non cash charges – cost of capital	4	-	(8)
Net operating cost for the year		(955)	(1,067)
Net funding		1,000	910
<b>Balance at 31 March 2011</b>		<b>100</b>	<b>55</b>
<b>Deferred Government Grant</b>			
<b>Balance at 1 April 2010</b>		<b>33</b>	<b>66</b>
Released to operating cost statement		(33)	(33)
<b>Balance at 31 March 2011</b>		<b>-</b>	<b>33</b>



# Notes to the Accounts

## For the year ended 31 March 2011

### 1. Accounting policies

#### Statement of accounting policies

These Accounts have been prepared in accordance with the Government Financial Reporting Manual (FRM) issued by HM Treasury, which follows International Financial Reporting Standards as adopted by the European Union (IFRSs as adopted by the EU), IFRIC Interpretations and the Companies Act 2006 to the extent that they are meaningful and appropriate to the public sector. They have been applied consistently in dealing with items considered material in relation to the accounts.

The preparation of the accounts in conformity with IFRS requires the use of certain critical accounting estimates. It also requires management to exercise its judgement in the process of applying the accounting policies. The areas involving a higher degree of judgement or complexity, or areas where assumptions and estimates are significant to the accounts, are disclosed in section (h) below.

#### (a) Accounting Convention

The accounts are prepared under the historical cost convention modified to account for the revaluation of property, plant and equipment, intangible assets and, where material, current asset investments and inventories to fair value as determined by the relevant accounting standard.

#### (b) Property, Plant and Equipment (PPE)

The threshold for capitalisation of Property, plant and equipment is £1,000. Amortised historic cost has been used as a proxy for the current value of plant and machinery.

Property, plant and equipment is amortised at rates calculated to write them down to estimated residual value on a straight line basis over their estimated useful lives as follows:

Leasehold Improvements	over 10yrs
Equipment	over 5yrs
Information Technology	over 3yrs
Software	over 3 yrs

#### (c) Receivables

All material amounts outstanding at 31 March 2011 have been brought into account irrespective of when actual payments were made.

#### (d) Payables

All material amounts outstanding at 31 March 2011 have been brought into account irrespective of when actual payments were made.

#### (e) Capital Charge

From 1 April 2010, the Scottish Government, and HM Treasury Financial Reporting Manual, no longer require the Risk Management Authority to provide for a notional cost of capital. The impact on the comparative period financial statements would have been to reduce net operating costs by £8,000; there would have been no impact on net assets. The impact on the comparative financial statements is not considered to be material and comparative disclosures have not been amended in this respect.

#### (f) Income and Government Grants

Most of the expenditure of the Risk Management Authority 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 non-current 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.

All income that is not classed as funding is recognised in the period in which it is receivable. In particular:

- income from the sale of goods is recognised when the significant risks and rewards of ownership are transferred to the purchaser and it is probable that economic benefits or service potential associated with the transaction will flow to the Risk Management Authority; and
- income from the provision of services is recognised when the Risk Management Authority can measure reliably the percentage of completion of the transaction and it is probable that economic benefits or service potential associated with the transaction will flow to the Risk Management Authority.

#### (g) Operating Leases

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

#### (h) Provisions

The Risk Management Authority provides for legal or constructive obligations that are of uncertain timing or amount at the balance sheet date on the basis of the best estimate of the expenditure required to settle the obligation. Where the effect of the time value of money is significant, the estimated cash flows are discounted using the discount rate prescribed by HM Treasury.

**2. Staff Costs****Authority Members**

Salary

Social Security Costs

**Total Authority Members**

2010-11 £'000	2009-10 £'000
49	50
1	1
<b>50</b>	<b>51</b>

**Administrative Staff**

Wages and salaries

Social Security costs

Pension costs

Agency Staff

**Total Administrative Staff**

2010-11 £'000	2009-10 £'000
422	391
33	32
79	72
26	45
<b>560</b>	<b>540</b>

**Total Staff Costs**

<b>610</b>	<b>591</b>
------------	------------

**Average number of employees during the year:**

Authority Members

Staff

No.	No.
8	8
12	13

**3. Other Administrative Costs**

Accommodation

Office equipment and furniture

Research and consultancy

IT Support

Training

Legal Fees &amp; Expenses

Supplies &amp; Services

Stationery

Advertising

Catering and Hospitality

Expenses and Travel

Other Office Costs

Internal Audit Fee

External Audit Fee

Practitioner training

Depreciation

Release of Government Capital Grant

**Total**

2010-11 £'000	2009-10 £'000
61	56
8	15
41	42
18	23
14	12
24	3
13	21
3	7
-	-
1	2
17	17
71	29
6	8
9	10
78	227
46	45
(33)	(33)
<b>377</b>	<b>484</b>

#### 4. Notional Costs

HM Treasury removed the cost of capital charge from budgets and accounts from 1st April 2010, therefore there is no charge for the current year. Previously, the cost of capital charge was charged to reflect the notional cost of capital utilised by Risk Management Authority. The charge was calculated at the government standard rate of 3.5 percent on the average carrying amount of all assets less liabilities, except for donated assets and OPG balances where the charge was nil.

	2010-11 £'000	2009-10 £'000
Cost of Capital Charge at 3.5%	-	(8)

#### 5. Income From Activities

	2010-11 £'000	2009-10 £'000
Event and conference income	32	-

#### 6. Property, Plant and Equipment

	Buildings £'000	Plant & Machinery £'000	Information Technology £'000	Furniture & Fittings £'000	Total £'000
<b>Cost</b>					
Balance at 1 April 2010	38	30	10	-	78
Additions	-	4	10	10	24
Disposals	-	(2)	-	-	(2)
<b>Balance at 31 March 2011</b>	<b>38</b>	<b>32</b>	<b>20</b>	<b>10</b>	<b>100</b>
<b>Depreciation</b>					
Balance at 1 April 2010	20	29	10	-	59
Charge for year	3	2	3	2	10
Disposals	-	(2)	-	-	(2)
<b>Balance at 31 March 2011</b>	<b>23</b>	<b>29</b>	<b>13</b>	<b>2</b>	<b>67</b>
<b>NBV at 31 March 2011</b>	<b>15</b>	<b>3</b>	<b>7</b>	<b>8</b>	<b>33</b>
NBV at 31 March 2010	18	1	-	-	19
<b>Analysis of asset financing:</b>					
Owned	15	3	7	8	33
Finance leased	-	-	-	-	-
<b>NBV at 31 March 2011</b>	<b>15</b>	<b>3</b>	<b>7</b>	<b>8</b>	<b>33</b>

**7. Intangible Assets****Cost**

Balance at 1 April 2010
Additions
Disposals
<b>Balance at 31 March 2011</b>

**Depreciation**

Balance at 1 April 2010
Charge for year
Disposals
<b>Balance at 31 March 2011</b>

**NBV at 31 March 2011**

NBV at 31 March 2010

**Analysis of asset financing:**

Owned

Finance leased

**NBV at 31 March 2011**

Software £'000	Total £'000
106	106
-	-
-	-
<b>106</b>	<b>106</b>
70	70
36	36
-	-
<b>106</b>	<b>106</b>
-	-
<b>36</b>	<b>36</b>
-	-
-	-
<b>-</b>	<b>-</b>

**8. Financial Instruments**

As the cash requirements of Risk Management Authority are met through grant funding, financial instruments play a more limited role in creating and managing risk than in a non public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with Risk Management Authority's expected purchase and usage requirements, and therefore Risk Management Authority is therefore exposed to little credit, liquidity or market risk.

**9. Trade Receivables and other current assets****Amounts falling due within one year:**

Other receivables
<b>Total receivables within 1 year</b>

2010-11 £'000	2009-10 £'000
14	-
<b>14</b>	<b>14</b>

**10. Cash and cash equivalents**

	2010-11 £'000	2009-10 £'000
Balance at 1 April 2010	418	429
Net change in cash and cash equivalent balances	(96)	(11)
<b>Balance at 31 March 2011</b>	<b>322</b>	<b>418</b>
<b>The following balances at 31 March were held at:</b>		
Office of the HM Paymaster General	-	411
Commercial banks and cash in hand	322	7
<b>Balance at 31 March 2011</b>	<b>322</b>	<b>418</b>

**11. Trade payables and other current liabilities**

	2010-11 £'000	2009-10 £'000
<b>Amounts falling due within one year:</b>		
Other payables	21	87
Accruals and deferred income	224	286
<b>Total due within one year</b>	<b>245</b>	<b>373</b>

**12. Provisions for liabilities and charges**

The current lease on the premises at St James' House expires on 28 February 2014. As part of the lease agreement the Risk Management Authority has an obligation to cover any dilapidations and reinstatement costs that may be required at the end of the lease. As such a provision has been established, based on the best estimate of the present value of expenditure required to settle the obligation. During the year the cost of the dilapidations was estimated at £60,000. Accordingly, the provision will be increased to this level over the remaining term of the lease.

	2010-11 £'000	2009-10 £'000
Balance at 1 April 2010	12	-
Provided in year	12	12
<b>Balance at 31 March 2011</b>	<b>24</b>	<b>12</b>

**13. 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.

**14. Capital Commitments and Contingent Liabilities**

The operating lease contains provision to return the premises occupied by the Risk Management Authority to the same condition as when the lease was entered upon expiry of the lease. The costs for completing this dilapidation is expected to be £60,000 and a provision for £24,000 against these costs have been made in these financial statements.

**15. Commitments under leases**

**Obligations under operating leases comprise:**

Buildings:

Not later than one year

Later than one year and not later than five years

Later than five years

	31 March 2011 £'000	31 March 2010 £'000
	41	39
	79	114
	-	-

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

The RMA Annual Report and Accounts were laid before Parliament on the 19th of August 2011, report number SG/2011/167



**RISK MANAGEMENT AUTHORITY**

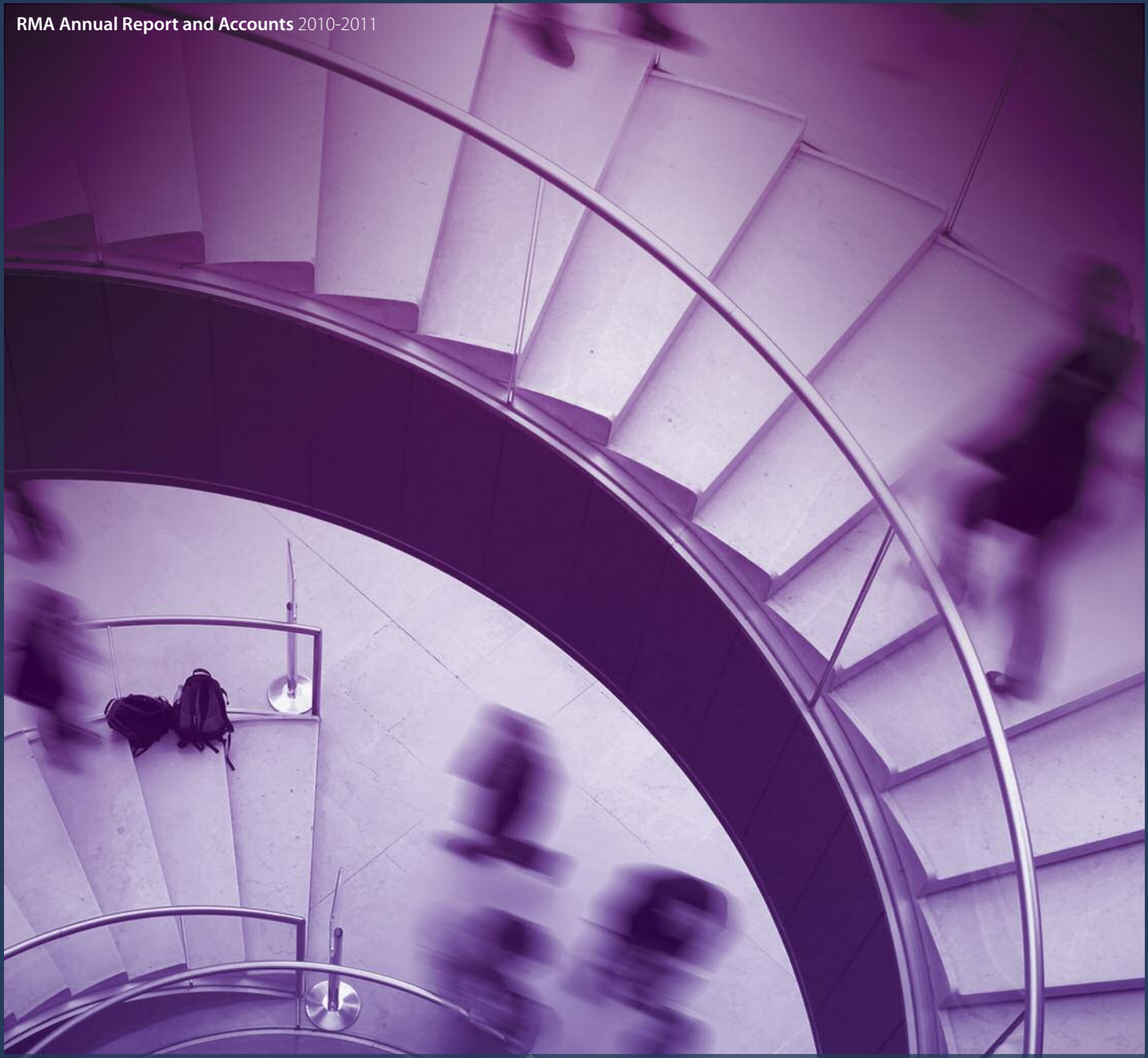
**DIRECTION BY THE SCOTTISH MINISTERS**

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 (FRcM) 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.

A handwritten signature in cursive script, appearing to read 'Steve Richardson'.

A member of the staff of the Scottish Ministers

Dated 10 February 2006



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*



# Appendix A

## Results against Business Plan 2010-11 Local Performance Targets

Strategy 1: Best Practice	
Local Performance Targets	Summary Evidence
<p><b>Supporting Evidence-based policy</b></p> <p><b>T11a</b> Contribute to the Reducing Reoffending Programme through membership of national working groups and advise on 1) the review and implementation of policies and 2) research and practice matters.</p>	<p>Contributions made to:</p> <ul style="list-style-type: none"> <li>• FRAME Working Group.</li> <li>• LS/CMI Working Group.</li> <li>• Effective Community Disposals Project Implementation Board.</li> <li>• Risk Assessment and Management Work Stream for Young People.</li> <li>• MAPPA.</li> <li>• Forensic Network Risk Strategy Group.</li> <li>• National Outcomes &amp; Standards Advisory Group.</li> <li>• ACPOS: Offender Management Working Group .</li> </ul>
<p><b>T11b</b> Promote Scotland's reputation as a leader in the field, and ensure a credible authority and profile for the RMA.</p>	<ul style="list-style-type: none"> <li>• Production of chapter for Monash University on the Scottish approach to high risk offenders.</li> <li>• RMA's Risk Management Plan and Practice course incorporated into Coventry University's forensic masters course.</li> <li>• Partnership link with Swedish Ratsmedicinalvert.</li> <li>• Partnership link with Portuguese Ministry of Justice.</li> </ul>
<p><b>T11c</b> Foster relationships with stakeholders for collaborative working and cross-cutting initiatives.</p>	<ul style="list-style-type: none"> <li>• Meetings held with COPFS re the sharing of information with accredited assessors.</li> <li>• Meetings held with Criminal Justice &amp; Parole Division re the involvement of the Parole Board with RMPs.</li> <li>• Contributed to the MOP on Restricted Patients.</li> <li>• Participation in ADSW/SWIA HRO follow up initiative and presentations delivered in CJAs.</li> <li>• Link established with SSSC.</li> <li>• Presentation on risk to Glasgow School of Social Work students.</li> <li>• Presentation at SSSC/HEI 'engagement and enhancement' seminar.</li> </ul>
<p><b>External Events</b></p> <p><b>T12a</b> Deliver and host national and international events in Scotland that enhance best practice in Risk Assessment and Management.</p>	<ul style="list-style-type: none"> <li>• Two Working in Partnership events held, on the 12th May 2010 and 23rd &amp; 24th March 2011.</li> <li>• Risk Assessment Report Writing training delivered.</li> </ul>

Strategy 2: Research & Innovation	
Local Performance Targets	Summary Evidence
<p><b>FRAME</b></p> <p><b>T21a</b> Develop a standard framework that promotes and evaluates proportionate, meaningful and purposeful practice in risk assessment and risk management of violent and sexual offenders.</p>	<ul style="list-style-type: none"> <li>FRAME policy document developed that incorporates agreed foundations, guiding principles and practice standards of risk assessment and management practice.</li> </ul>
<p><b>LSCMI</b></p> <p><b>T22a</b> Evaluate the implementation of LSCMI, make recommendations for good practice nationally through identifying the need for amendments to training, materials and recommending quality assurance and support measures.</p>	<ul style="list-style-type: none"> <li>Training materials and Guidance manuals reviewed in partnership with SG, SPS, ADSW and Cognitive Centre.</li> <li>Focus groups and challenge exercises delivered.</li> <li>Train the trainer events facilitated.</li> <li>Evaluation mechanisms developed.</li> <li>Final report on the pilot phase compiled.</li> </ul>
<p><b>SA07</b></p> <p><b>T23a</b> Evaluate the implementation of SA07 for quality improvement measures.</p>	<ul style="list-style-type: none"> <li>Feedback sessions held with practitioners in Tayside, Northern, Fife &amp; Forth valley, Dumfries &amp; Galloway and greater Glasgow.</li> <li>Delivery of findings from the evaluation project to front line staff.</li> <li>Focus groups held with SA07 trainers from the Police, CJSW and SPS.</li> <li>Final report drafted.</li> </ul>
<p><b>SARA</b></p> <p><b>T24a</b> Evaluate the implementation of SARA and its contribution to targeting and planning.</p>	<ul style="list-style-type: none"> <li>Further work required to set the parameters of the RMA's role and clarify project contribution. Project work carried forward into new financial year.</li> </ul>
<p><b>Evaluation &amp; Research</b></p> <p><b>T25a</b> Support the growing awareness of the importance of research and evaluation in effective practice.</p>	<ul style="list-style-type: none"> <li>Promoted effective practice via two Working in Partnership events.</li> <li>RMA researchers trained in OLR processes.</li> <li>Progress made to determine OLR research data sets, to facilitate OLR research projects.</li> </ul>
<p><b>T25b</b> Establish internal research standards and ensure their implementation.</p>	<ul style="list-style-type: none"> <li>Literature searches and summaries undertaken to inform future research project planning and design.</li> </ul>

Strategy 3: Setting the Standard	
Local Performance Targets	Summary Evidence
<p><b>Accreditations</b></p> <p><b>T31a</b> Manage and maintain an effective and robust process to achieve our statutory obligations under the Accreditation Scheme with regards to Accredited Assessors.</p>	<ul style="list-style-type: none"> <li>Developed web-based system for managing accredited assessor availability.</li> <li>3 accredited assessor applications approved.</li> <li>8 re-accreditation applications approved.</li> <li>Cohort of 17 accredited assessors at end of reporting period.</li> </ul>
<p><b>T31b</b> Manage and maintain an effective and robust process to achieve our statutory obligations under the Accreditation Scheme with regards to Accredited Manners.</p>	<ul style="list-style-type: none"> <li>No new manners received.</li> </ul>
<p><b>T31c</b> Extend geographical and professional representation of the Accredited Assessor cohort.</p>	<ul style="list-style-type: none"> <li>Processed 8 applications for accredited assessor status.</li> <li>Current number of assessors deemed as optimum and advice given that no further processing of new applications in the foreseeable future.</li> </ul>
<p><b>Quality Assurance of Risk Assessment Reporting Process</b></p> <p><b>T32a</b> Establish a quality assurance mechanism for risk assessment reports and review performance of assessors in adhering to RMA standards and guidelines.</p>	<ul style="list-style-type: none"> <li>Quality assurance mechanism created for Risk Assessment Reports (RAR) ; new assessors now have their first three RARs assessed for quality assurance and every third report thereafter.</li> </ul>
<p><b>Quality Assurance of RMP Process</b></p> <p><b>T33a</b> Maintain an effective and robust process to achieve consistent quality assurance in fulfilling our statutory obligations for the approval of risk management plans.</p>	<ul style="list-style-type: none"> <li>All RMP's and AIR's submitted, evaluated and approved to legislative timescales.</li> <li>New process implemented re the submission of RMP's and AIR's, with quality assurance checks carried out by senior RMA staff.</li> </ul>
<p><b>Publications</b></p> <p><b>T34a</b> Develop and maintain a portfolio of publications that reflects the current evidence base and enhances practitioners' knowledge and capabilities to achieve best practice as standard.</p>	<ul style="list-style-type: none"> <li>Review of RATED version 3 completed by an external research advisor, scheduled for publication in the new financial year.</li> <li>Work undertaken to produce draft assessor and case manager handbooks.</li> <li>Continued development of the CD ROM undertaken, publication scheduled for the new financial year.</li> </ul>

Strategy 4: Raise the Standards	
Local Performance Targets	Summary Evidence
<p><b>Training activities to support FRAME</b></p> <p><b>T41a</b> Contribute to the design and delivery of national training programmes supporting FRAME.</p>	<ul style="list-style-type: none"> <li>Initial pilot to oversee quality of LS/CMI training completed.</li> <li>Review of all LS/CMI training materials coordinated.</li> <li>Quality assurance work to support the LS/CMI roll out, including RMA website developments implemented.</li> <li>Feedback provided to the RRP (Young People who offend) workstream on FRAME practice guidance development.</li> </ul>
<p><b>Tier-Specific Training for FRAME</b></p> <p><b>T42a</b> Contribute to the design and delivery of training programmes supporting 1st Tier FRAME.</p>	<ul style="list-style-type: none"> <li>Task to develop tier-specific training for FRAME to be drawn up in consultation with the FRAME Working Group in the new financial year, following approval of the FRAME policy document.</li> </ul>
<p><b>T42b</b> Contribute to the design and delivery of training programmes supporting 2nd Tier FRAME.</p>	<ul style="list-style-type: none"> <li>Revisions made to the Risk Management Planning and Practice course, and case studies developed.</li> <li>Task to develop tier-specific training for FRAME to be drawn up in consultation with the FRAME Working Group in the new financial year, following approval of the FRAME policy document.</li> </ul>
<p><b>T42c</b> Contribute to the design and delivery of training programmes supporting 3rd Tier FRAME.</p>	<ul style="list-style-type: none"> <li>Continued CPD activity for accredited assessors delivered, including training on data protection and SARA.</li> <li>Task to develop tier-specific training for FRAME to be drawn up in consultation with the FRAME Working Group in the new financial year, following approval of the FRAME policy document.</li> </ul>
<p><b>Information Dissemination</b></p> <p><b>T43a</b> Develop effective modes of dissemination for all publications.</p>	<ul style="list-style-type: none"> <li>New RMA website implemented, incorporating increased functionality and secure access attributes.</li> </ul>

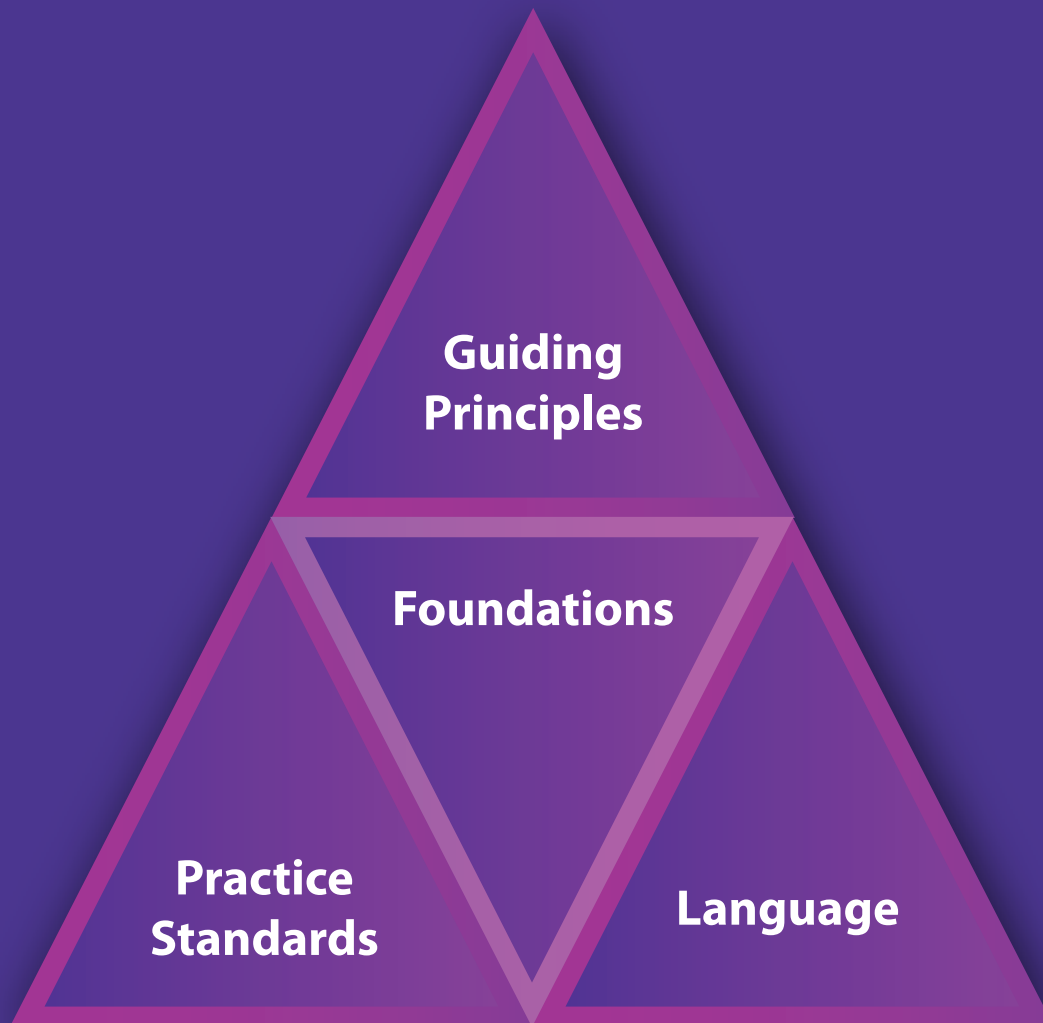
Strategy 5: Improving the Service	
Local Performance Targets	Summary Evidence
<p><b>Human Resources</b></p> <p><b>T51a</b> Build a robust HR function that is aligned to the RMA's corporate strategy as an effective organisation and a fair employer.</p>	<ul style="list-style-type: none"> <li>• New staff handbook drafted.</li> <li>• Partnership arrangements set up to provide occupational health services for the RMA.</li> <li>• Staff trained in job evaluation.</li> <li>• Health &amp; Safety procedures reviewed.</li> <li>• New start processes revised.</li> </ul>
<p><b>Communications</b></p> <p><b>T52a</b> Establish effective internal communications systems that facilitate and promote a positive team working environment.</p>	<ul style="list-style-type: none"> <li>• New monthly departmental meetings instigated to enhance internal communications.</li> <li>• Staff away day held in May 2010.</li> <li>• A 'morning note' system of relevant media stories circulated to staff via email.</li> </ul>
<p><b>T52b</b> Establish external communication systems that facilitate and promote effective stakeholder engagement.</p>	<ul style="list-style-type: none"> <li>• New RMA brand guidelines and logo introduced.</li> <li>• New RMA website created, incorporating a 'supporting best practice' section that provides the platform for LS/CMI-roll out evaluations.</li> </ul>
<p><b>Information Technology</b></p> <p><b>T53a</b> Realise the potential and exploit IT solutions to support and improve services provided.</p>	<ul style="list-style-type: none"> <li>• Continued the development of a new secure case management IT system, in partnership with Scottish Government ISIS department.</li> </ul>
<p><b>Governance &amp; Management</b></p> <p><b>T54a</b> Enhance and improve systems that facilitate the governance of RMA management processes.</p>	<ul style="list-style-type: none"> <li>• New RMA business plan reporting system implemented.</li> <li>• Control system devised for all reports and governance procedures.</li> <li>• Review of all RMA policies and procedures instigated.</li> <li>• Development of a new MSFM with the RMA sponsor department instigated.</li> </ul>
<p><b>Finance</b></p> <p><b>T55a</b> Maximise RMA's capability through effective financial management.</p>	<ul style="list-style-type: none"> <li>• New purchase order system created.</li> <li>• Review completed of all RMA contracts.</li> <li>• Monthly reviews of accounts and payment performance reports completed.</li> </ul>
<p><b>Sustainability</b></p> <p><b>T56a</b> Establish a culture that supports the environment and its sustainability.</p>	<ul style="list-style-type: none"> <li>• Continued staff support to cycle to work scheme.</li> <li>• Stationery purchased from sustainable resources.</li> <li>• Number of hard copies of RMA publications reduced, with greater use made of electronic versions.</li> <li>• Video conferencing utilised to reduce travel needs.</li> <li>• Change to new credit card that allows electronic billing and statements.</li> </ul>
<p><b>T56b</b> Ensure the future capability of the RMA.</p>	<ul style="list-style-type: none"> <li>• Business Plan 2011-12 development work.</li> <li>• Planning process identified for 2011-12 to establish a project plan for the relocation of RMA offices in 2014.</li> </ul>

# 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
CJSW	Criminal Justice Social Work	The Scottish Government funds Scotland's local authorities to provide criminal justice social work (CJSW). CJSW is responsible on behalf of Scottish Courts for supervising those offenders aged 16 and over who have been subject to a community disposal. In addition CJSW provide reports to courts to assist with sentencing decisions
CJ&P	Criminal Justice and Parole Division	Scottish Government Division that provides policy advice on aspects of criminal procedure, parole and the release of prisoners and children dealt with on indictment by the courts
COPFS	Crown Office and Procurator Fiscal Service	Service responsible for the prosecution of crime in Scotland, the investigation of sudden or suspicious deaths, and the investigation of complaints against the police
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 Arrangements	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 published by the RMA
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

## FRAME

Framework for Risk Assessment Management and Evaluation



The concept of FRAME is underpinned by the need to develop a standard framework that promotes and evaluates proportionate, meaningful and purposeful practice in the risk assessment and risk management of violent and sexual offenders. For more information on the ongoing development of FRAME please refer to our website [www.rmascotland.gov.uk](http://www.rmascotland.gov.uk)

*Working towards a Safer Scotland*

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