

Annual Report and Accounts

2011-12

Working towards a Safer Scotland

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Introduction

Convener's Foreword



It is my most pleasant duty to introduce the Risk Management Authority's (RMA) Annual Report and Accounts for 2011-12.

The RMA is a non-departmental public body (NDBP) funded by the Scottish Government and sponsored by the Criminal Justice and Parole Division of the Justice Directorate. 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. All of our working practices and efforts are structured towards that aim and are informed by our business and corporate planning activities.

Our performance against the RMA Business Plan 2011-12 is provided in detail in this document, and I am pleased to report that there were important strides forward made during this period as well as some particular highlights to share. These include; the publication of the FRAME¹ policy paper, a significant milestone in the development of this project to create a consistent, shared framework for risk assessment and management; a well received conference on the topical subject of women's offending; a programme of practical support provided to the roll out of the LS/CMI² risk assessment and case management system across Scotland's Prison Service and Criminal Justice Social Work staff; and the ground work and early plans made for an exciting new project that seeks to enhance one to one supervision practices. The greater details of these and other successes can be found in the relevant sections of this report.

A statutory duty of the RMA is 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 2011-12, six appropriately skilled and experienced individuals were accredited by the RMA to prepare risk assessment reports for the High Court, thus maintaining a cohort of seventeen accredited assessors available for this purpose. In 2011-12 the RMA approved fourteen risk management plans prepared by the Scottish Prison Service in relation to individuals subject to an order for lifelong restriction, and reviewed the implementation of forty seven cases. All statutory timescales in place for this work were met.

I am fortunate to work with a group of dedicated colleagues on the RMA Board, and wish to extend my sincere thanks and best wishes to Professor Don Grubin whose term with the RMA came to an end in December 2011. Professor Grubin was a serving RMA Board member for four years, in that time helping to shape the structure and strategic direction of the RMA as well as providing insightful contributions to our Committees born of his vast knowledge and expertise. I am also very pleased to have the opportunity to acknowledge the addition of Mr Emcee Chekwas to the RMA Board. Mr Checkwas joined the RMA in August 2011. He is a consultant chartered forensic psychologist and a registered member of the British Psychological Society and the Health Professionals Council. He is currently in independent psychology practice providing expert witness testimony to criminal, civil and family Courts in the UK. Mr Checkwas's many years experience in the assessment, management and rehabilitation of a wide range of offenders will make a significant contribution to the work of our Board and we welcome his ongoing participation and input.

In terms of our next steps, 2012-13 forms the final year of our current corporate plan, and we have developed a business plan going forward that marries the achievements of the past two years with a set of targets that will see the completion of our corporate strategies for 2010-13. As always, the targets we have set ourselves will require great effort and stretch our capabilities. However our commitment to producing excellent quality standards and promoting innovation means we approach these challenges with a sense of great enthusiasm. A further output of the coming year will be the development of a corporate plan for 2013-16 that sets the future strategic direction of the RMA. We will look to build upon our current successes with the formation of a new set of deliverables that push forward our agenda and contribute to national objectives.

Overall 2011-12 has been a year of increasing momentum for the RMA. Senior management and staff of the RMA have continued to work as a close knit team and their work and other achievements have been firmly focussed on attaining objectives. Great progress has been made and I am satisfied that the RMA has once again fulfilled its duties as a public body over the past 12 months.

A handwritten signature in black ink, appearing to read 'Peter W Johnston'. The signature is fluid and cursive, written over a white background.

Peter W Johnston
Convener
16 July 2012



"In terms of our next steps, 2012-13 forms the final year of our current corporate plan, and we have developed a business plan going forward that marries the achievements of the past two years with a set of targets that will see the completion of our corporate strategies for 2010-13."

Peter W Johnston

Working towards a Safer Scotland



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 Risk Management Authority is an independent Non-Departmental Public Body (NDPB)³ established in 2005, under the Criminal Justice (Scotland) Act 2003. Sections 3 to 13 of the Act outline the statutory duties of the Authority. These were developed in response to recommendations to Scottish Ministers from the Committee on Serious Violent and Sexual Offenders in 2000 (chaired by Lord MacLean). The duties outlined focus on protecting the public by ensuring that robust and effective management practices are in place to reduce the risk of serious harm posed by violent and sexual offenders. Within this remit, the Risk Management Authority also has specific responsibility to administer and oversee the standard setting, accreditation and approval processes supporting the Order for Lifelong Restriction (OLR). This sentence pertains to those who pose the highest level of risk to the community and involves a rigorous programme of lifetime risk management⁴ in cases where the High Court determines that the offender

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.

“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)



³ A public organisation that provides a service independently from the Government

⁴ For further information, including OLRs, please see our FAQs at www.rmascotland.gov.uk/news-and-information/faq-s/

Statutory Function

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

The Risk Management Authority's statutory functions are:

1. Policy and Research⁵

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 Standards⁶

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 Plans⁷

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 Training⁸

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 Functions⁹

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.

⁵ Part 1 section 4 of the Criminal Justice (Scotland) Act 2003

⁶ Part 1 section 5 of the Criminal Justice (Scotland) Act 2003

⁷ Part 1 section 6-9 of the Criminal Justice (Scotland) Act 2003

⁸ Part 1 section 4 & 11 of the Criminal Justice (Scotland) Act 2003

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

⁹ Part 1 section 12 & 13 of the Criminal Justice (Scotland) Act 2003



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“The RMA are very happy to report on the commissioning of a new project that has positive implications for supervision practices. Enhancing Effective Practice In Community Supervision (EPICS) is being developed by the RMA, in conjunction with a number of prominent researchers from Canada and the United States.”

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Annual Report

Management Commentary

As Chief Executive and Accountable Officer of the Risk Management Authority (the RMA) I am pleased to report on the significant achievements facilitated by the RMA in 2011-12. The pages that follow detail the results of our activity against the Business Plan for 2011-12. Also highlighted are our notable successes, our progress against our key projects and how these achievements have contributed to Scottish Government National Outcomes.

Over the course of 2011-12 a number of projects gathered pace, notably the development of FRAME. The publication of the FRAME Policy Paper in July 2011 marked an important step in the realisation of this national multi-agency programme. The aims and objectives of FRAME are certainly aspirational, which made the progress achieved against the FRAME deliverables in 2011-12 all the more commendable, and really demonstrated the commitment of all involved to drive FRAME forward and instrumentally change the shape of current practice. The national implementation of the Level of Service/Case Management Inventory (LS/CMI) risk assessment and case planning tool for use within the Scottish Prison Service and Criminal Justice Social Work also reached important milestones this year. The training programme, delivered to approximately 1,000 practitioners across the country, was completed, and IT systems made operational, with multi level learning evaluation conducted by the RMA. Important agreements were also reached with our partners to allow the analysis of data arising from the implementation; a crucial step in our commitments to implementation integrity, quality assurance and the production of Scottish normative data.

Changes implemented by the RMA last year to its governance of processes for Risk Management Plan (RMP) approval had the desired result of reducing the number of plans submitted to the Risk Management Plan Approval Committee. Revised RMP's are only submitted for approval when merited by a significant change in the offenders circumstances, therefore removing the need for lead authorities to submit a new RMP for approval on an annual basis. The volume of case work for the Committee and lead authorities has subsequently seen a marked reduction in 2011-12. In this period quality assurance measures were also implemented, with systems for RMPs and Annual Implementation Reports (AIRs) developed and operated. Evaluation reviews are conducted by staff which are then assessed for quality assurance by senior staff and the Committee, with samples examined to ensure all reports are produced to an exacting standard.

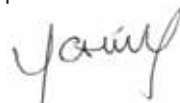
Yet again I am delighted to report on the success of our Supporting Best Practice events this year, culminating in a conference that tackled the issue of women's offending. The meaningful contributions of our keynote speakers, exhibitors, delegates and guests left me with a feeling of great optimism

that the issues that surround women's offending are being pursued with vigour and determination. Thank you to all who participated and made it such an enjoyable event. I am also very grateful that the enthusiastic response of participants led to the commencement of a collaborative project between the RMA and Patricia Van Voorhis from the University of Cincinnati to pilot a gender specific method of risk needs assessment.

The RMA are very happy to report on the commissioning of a new project that has positive implications for supervision practices. Enhancing Effective Practice In Community Supervision (EPICS) is being developed by the RMA, in conjunction with a number of prominent researchers from Canada and the United States. A project advisory group has been set up, involving Dr Guy Bourgon from the University of Ottawa, Dr Christopher Lowenkamp Probation Administrator for the US Courts, and Dr Ralf Serin of Carleton University Ottawa. The RMA has commissioned these pioneers of structured community supervision techniques to develop materials for a pilot programme in Scotland, which we anticipate will provide effective techniques for practitioners. The key aim of the pilot project is to gather evidence on the benefits of this approach in reducing rates of recidivism, and establish whether the reductions in recidivism recorded in Canada can be replicated in Scotland.

The primary source of funding for the RMA comes from the Scottish Government in the form of grant in aid to a Non Departmental Public Body. Budgetary pressures faced by the public sector generally were shared by the RMA, with funding for 2011-12 held static at £1m which represents a reduction in real term funding. A mitigating factor and notable success for the RMA this year was the generation of income streams from events and seminars. Supporting best practice through the delivery of events and training is an important element of our work, and we endeavour to not only offer delegates valuable learning opportunities but commit to investing any surplus that arises in new innovative projects that will inform future practitioner learning.

By reading this report and learning about how we have performed over the past twelve months, I trust it will be evident we have applied our efforts meaningfully and to good purpose. It is also important to stress that these efforts would not be possible without the excellent working relationships we are fortunate to have with our many stakeholders and partners. We look forward to continuing those relationships and making positive contributions with them in the year ahead.



Yvonne Gailey, Chief Executive and Accountable Officer
Risk Management Authority

Performance against 2011-12 Business Plan

2011-12 marked the mid point of the RMA's Corporate Plan 2010-13. The Business Plan 2011-12 was structured as per the 5 Strategies contained in the corporate plan, those being Best Practice, Research & Innovation, Setting the Standard, Raising the Standard and Improving the Service. By aligning our strategies to the National Outcomes of the Scottish Government, we ensured that our recorded activities against each business plan would make direct, meaningful, contributions to the overall aim of a Safer and Stronger Scotland.

The 5 RMA Corporate Strategies listed above are supported by a set of 20 Strategic Activity Areas, and we are pleased to report that during 2011-12, progress was recorded against all 20. That progress is detailed in the pages that follow, with a description of each strategic aim and the notable work undertaken to support their delivery.

Key facts for 2011-12:

Delivery of an International Conference that raised awareness of current thinking and new techniques in the risk assessment and management of women offenders

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 2011-12 supporting this strategic aim included:

- Contributions made through participation at a number of national working groups, including FRAME, LS/CMI and Effective Community Disposals. Other relevant groups supported included Young People Workstream, Offender Management Working Group, HRO Steering Group, ACPOS¹⁰, RRP Project Managers Forum, Good Lives Advisory Group and CJSW¹¹ PQ group;
- Extensive working with the MAPPA¹², COPFS¹³, SPS¹⁴, ADSW¹⁵ and NHS¹⁶ to develop arrangements and information sharing guidance for the compilation of Risk Assessment Reports;
- Delivery of an international conference on women's offending, contributing to the sharing of expertise and good practice;
- Delivery of a seminar on the SAPROF¹⁷ tool to managers and practitioners;
- Training of six trainers in the SAPROF instrument to enable dissemination in the lead agencies;
- Contributions made to the development of MAPPA strategic oversight arrangements and guidance;
- Delivery of presentations and posters on FRAME, LS/CMI and SA07¹⁸ at events and working groups, including IAF MHS¹⁹, NOTA²⁰, Youth Justice and MAPPA.

¹⁰ Association of Chief Police Officers in Scotland

¹¹ Criminal Justice Social Work

¹² Multi Agency Public Protection Arrangement

¹³ Crown Office and Procurator Fiscal Service

¹⁴ Scottish Prison Service

¹⁵ Association of Directors of Social Work

¹⁶ National Health Service

¹⁷ Structured Assessment of Protective Factors

¹⁸ Stable and Acute 2007, Harris & Hanson (2007) risk assessment tool for sexual offenders

¹⁹ International Association of Forensic Mental Health Services

²⁰ National Organisation for the Treatment of Abusers

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 2011-12 supporting this strategic aim included:

- FRAME Policy Paper published, developed in conjunction with the key criminal justice agencies including police, prison, criminal justice social work, and forensic mental health services, providing an agreed template for stakeholder approaches to risk assessment, management and evaluation;
- Support provided to the improvement initiatives of SA07, with an event on quality assurance held in March 2012;
- Contributions made and support provided to the roll out of LS/CMI across Scotland (the risk assessment and case management system that will now be used as the common instrument within both the Scottish Prison Service and Criminal Justice Social Work);
- LS/CMI Learning Evaluation reports produced and distributed to stakeholders;
- Agreement reached for RMA staff to gather and evaluate normative LS/CMI data from local authorities;
- Establishment of a new project to enhance one to one supervision practices. A project advisory group established and development work commenced;
- Commencement of a new project to pilot a method of gender specific risk/needs assessment.

Key facts for 2011-12:

Frame Policy Paper published, providing the template for a common shared approach to risk assessment and management

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 2011-12, notable activity supporting this strategic aim included:

- Project Plans devised to support the development of revised Standards & Guidelines for Risk Management and Risk Assessment;
- Extended consultation and engagement with stakeholders (including representatives from the Scottish Government, MAPPA, NHS, the Police, Prison Service and the Parole Board) to develop revised Standards & Guidelines and Guidance, particularly in relation to the OLR post-release process;
- Progress made to create guidance on information sharing for agencies, courts, the NHS and Accredited Assessors;
- Support provided to ACPOS regarding revisions to their Offender Management Course;
- Enhanced distribution and awareness raising of RMA publications via the RMA website.

Key facts for 2011-12:

Engagement with Scottish Government, MAPPA, NHS, Police, Prison Service and Parole Board to inform revised RMA Standards & Guidelines and Guidance

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 2011-12, notable activity supporting this strategic aim included:

- Risk Management Planning and Practice course (RMPP) for tier 3 of FRAME drafted and reviewed;
- Commissioned the development of tiered training materials on risk assessment;
- A Project Advisory Group established to oversee the development of EEPICS – Enhancing Effective Practice In Community Supervision;
- Contributions made to the LS/CMI National Working Group;
- LS/CMI briefing events and feedback sessions delivered as part of the RMA support to the roll out of the LS/CMI to Scottish Prison Service and Criminal Justice Social Work practitioners across Scotland;
- Evaluations conducted of pre and post LS/CMI training via the RMA website;
- Evaluation reports produced regarding the quality of LS/CMI training and early implementation;
- Support provided to LS/CMI trainers and a master trainer programme commissioned;
- Agreement reached with local authorities to gather normative LS/CMI data to facilitate national learning evaluations and quality assurance.

Key facts for 2011-12:

Roll out of the LS/CMI training and early implementation across Scotland evaluated for quality assurance

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 do this through the development of workforce plans that identify and balance future staffing needs, the benchmarking of our activity against other organisations and the construction of performance management systems.

During 2011-12, notable activity supporting this strategic aim included:

- Supporting Best Practice section of the RMA website further developed to support project initiatives, including evaluations of LS/CMI training and question & answer sections;
- New RMA Security Policy and Procedure created;
- Staff appraisal system reviewed;
- New monitoring system for RMA Environmental Policy actions implemented;
- Increased number of RMA staff trained to support existing OLR casework processes;
- Review completed of all RMA HR policies and procedures, and a new staff handbook created;
- Further development of a computer-based system to host restricted level data for Accreditations and OLR-related case management;
- Staff trained in Prince2 project management techniques; utilised in the development of project plans for the revised RMA Standards & Guidelines and FRAME;
- A quality assurance system set up for the RMA website;
- RMP Approval Committee quality assurance systems developed and implemented, to inform/maintain high standards and consistency in RMPs and AIRs produced by lead authorities.

Key facts for 2011-12:

RMA website utilised to support best practice, increasing the capacity of the RMA to communicate information to practitioners effectively. Supporting Best Practice pages on the RMA website viewed 17,219 times in 2011-12



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.

Working towards a Safer Scotland



Key projects

The RMA's statutory function under **Policy and Research** involves the promotion of effective practice and the commissioning of research and development activities. This work often concerns RMA contributions to national programmes or to long-term development projects. In all cases our project work adds value to and supports our strategic and business plan targets, particularly Strategic Aim 1 – Best Practice, 2 – Research & Innovation and 4 – Raising the Standard. These RMA strategic targets are aligned to five of the Scottish Government National Outcomes, thus ensuring that RMA activity directly supports the development and implementation of national policy initiatives and ultimately the national strategic objective of making Scotland Safer and Stronger.

Stable & Acute 2007

The Risk Management Authority was charged with the task of examining the implementation and early use of the Stable & Acute 2007 (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. The RMA's preliminary examination has been conducted with significant contributions and effort from a range of partners, including ADSW and ACPOS as well as frontline practitioners of the instrument. The final report has been drafted and reviewed with a view to publication in 2012-13. It sets out the RMA's recommendations for implementation, and for future training and quality assurance practice. In efforts to support the improvement initiatives of SA07, the RMA commissioned two Supporting Best Practice Seminars, one held in March 12 and one planned for April 12. Important elements of the event were accuracy in scoring practice; preparing mentors to support responsible use of SA07; outlining the contribution of SA07 to risk assessment; and to advise on the importance of practice supervision and quality assurance. The March seminar was delivered by Professor Don Grubin to an audience of SA07 trainers, managers, prospective trainers and mentors. This seminar proved to be a very worthwhile exercise, providing an opportunity for issues to be discussed and solutions formulated. The role of the RMA in this project is to promote defensible, meaningful and purposeful practice in the application of this instrument - the SA07 is only one of a range of assessment instruments likely to appear in the process of sex offender management, and where multiple assessments are conducted it is important that clarity of purpose is evident, to ensure the practice of making defensible decisions.

RATED

The Risk Assessment Tool Evaluation Directory (RATED) has become a valuable resource for academics and practitioners in the field. The RATED constitutes an audit of assessment tools that are likely to be considered by risk assessors who are required to perform risk assessments on behalf of statutory bodies, or for the purposes of ongoing risk management. It provides relevant background information on each instrument included in the directory, and highlights the strengths and limitations that an assessor should take into account when applying a tool as part of a holistic risk assessment process. The development of version 3 of RATED has continued throughout 2011-12, with a temporary Research Assistant employed to support this work and peer reviews commissioned. In keeping with the new developments within the research literature, there have been significant changes in the presentation and content of version 3, which are designed to both update and improve the utility of the directory. Changes implemented in this year included directory entries rearranged to better describe the status of each tool; a new section on diagnostic / personality assessment tools; a new section dedicated to tools for the assessment of 'treatment readiness' and 'responsivity'; and amendments to the evaluation criteria. Publication of the RATED is currently being reviewed, with the aim of producing both electronic and hard copy versions to support both widespread availability and a format that can be more easily updated in the future. The absence of any other similar directory of risk assessment tools means the RATED version 3 holds an important place as a practitioner guidance document.

FRAME

The concept of FRAME is underpinned by the need to establish a consistent, shared framework that promotes defensible and ethical risk assessment and management practice that is proportionate to risk, legitimate to role, appropriate for the task in hand, and is communicated meaningfully. It has been developed in conjunction with the key criminal justice agencies including police, prison, criminal justice social work and forensic mental health services. The first objective was fulfilled in July 2011 with the publication of the FRAME Policy Paper that outlined the agencies' shared commitment to a set of higher order principles of best practice that are applicable to all groups. Since then work has continued on a set of eight deliverables, with ongoing progress made to agree the practice standards and generic practice guidelines; review quality assurance mechanisms; and the development of age & stage appropriate guidance to be incorporated in the FRAME standards.

As mentioned earlier in this report, the Risk Management Planning and Practice course (RMPP) for tier 3 of FRAME has been drafted and reviewed and training commissioned to develop tier 1 and 2 provision.


Seeking to promote a shift in professional practice and culture across a range of disciplines and organisations is an ambitious aim, and yet it is one that each stakeholder has responded to with enthusiasm and commitment. The aim of the FRAME initiative is a long term vision with many further challenges ahead, but the work undertaken to date demonstrates a willingness to embark on this programme of change.

Great use of the RMA website was made in 2011-12 to promote FRAME to a wide audience of decision makers and practitioners. The international interest in FRAME was confirmed by the number of people from across the globe that also accessed the website to view the information. In total the FRAME pages on the RMA website were viewed 1,959 times by visitors from across the UK, Canada, New Zealand, Australia, the United States, Ireland, Portugal and Spain.

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

The LS/CMI (Andrews et al, 2004) is a comprehensive risk assessment and case management system. It is now the common instrument that will be used within both the Scottish Prison Service and Criminal Justice Social Work. Led by a National Working Group comprising the SG, ADSW, SPS, RMA and SWIA, 2011-12 saw the near completion of the roll out of the training programme and the early implementation of the project across Scotland. Approximately 1,000 practitioners were trained in the use of this instrument, with RMA staff involved across a number of roles within the project. Work completed by the RMA included the following: quality of LS/CMI training evaluated; delegate pre and post training evaluations conducted; focus group sessions with practitioners facilitated; evaluation reports produced for geographic areas with recommendations for improvement; LS/CMI trainers supported, through hosting train the trainer events; and support to the roll out of the I.T. version of the LS/CMI. A significant agreement was also reached for RMA staff to access LS/CMI data from local authorities – this is a key element of the implementation, as it informs the quality assurance of the process, will support research on the validation of the instruments use in Scotland, and inform a consistency of approach in the future.

Again, the RMA website was widely utilised to support the LS/CMI project. Online evaluation forms for pre and post training, early implementation and line manager views were hosted on the website. Similarly, in our efforts to share information and assist the agencies involved, evaluation reports, project updates, background literature and question & answer pages were also posted securely online. The scale of the project was demonstrated by the website statistics generated – 12,307 views of LS/CMI web pages over the 12 month period.



“The network opportunities this event provided were in themselves invaluable along with the learning on the subject matters given by the presenters and follow up workshops. I would wholly recommend this event and thank the RMA for the content and the benefit this may gain to our work with female offenders”

Which Way Now? New Directions in evidence based and gender informed practice., March 2012

Working towards a Safer Scotland



Conferences and events

Delivering events forms an important element of RMA activity. Training events, seminars and conferences are hosted throughout the year as part of our commitment to raising awareness of new approaches, highlighting good practice and raising standards. Event planning is carefully considered, seeking topics that bring new research developments to policy priorities, and that are of current relevance to practitioners. Great thought is given to how that learning will benefit risk assessment and management practice in Scotland as a whole. 2011-12 saw the RMA continue to engage leading thinkers and innovative practitioners to provide learning events that gave delegates valuable insights into developments in current practice. In this section we focus on two events in particular:



Which Way Now? New Directions in evidence based and gender informed practice.

In March 2012 the RMA held a conference with the theme of progressing our understanding of women's offending, and sharing knowledge on the advances made in evidence-based and gender informed practice. This event was timed to respond to and assist the Commission on Women Offenders, and sought to explore the very significant advances that have been made by academic and practitioner researchers in:

- Developing a theoretical perspective to underpin our practice that integrates the evidence on reducing reoffending and desistance with an understanding of the role of gender;
- Understanding the needs of women who offend;
- Evidence-based and gender informed assessment;
- Explaining the onset and outcomes of offending and violent behaviour in girls;
- Assessing women who offend violently;
- Understanding women who sexually abuse.

A comprehensive line up of key note speakers contributed to the conference. The speakers were:

- Hazel Kemshall, PhD Professor of Community and Criminal Justice at DeMonfort University;
- Michelle Burman, PhD Professor of Criminology at the University of Glasgow;
- Teresa Medhurst, Governor of Cornton Vale Prison, Scottish Prison Service;
- Kelley Blanchette PhD Director General of the Women Offenders Sector the Correctional Service of Canada, and Professor at Carleton University, Ottawa;
- Patricia Van Voorhis PhD Professor at the University of Cincinnati;
- Nadine Lanctot PhD Professor at the University of Sherbrooke, Montreal;
- Vivienne de Vogel PhD Psychologist Researcher in the Department of Research at the Dr. Henri van der Hoeven Kliniek in Utrecht, The Netherlands;
- Sherry Ashfield BA. (Hons) Dip SW, CQSW Principal Practitioner with the Lucy Faithful Foundation.

As well as the key note addresses, delegates had the opportunity to attend full afternoon workshops, choosing from the following areas of interest:

- Getting to grips with the integrated perspective and its challenges for practice;
- Supplementing gender-neutral assessment with gender informed guidelines;
- Assessing violence in women: supplementing the HCR-20 with female-specific guidelines;
- Understanding women who offend sexually.

The format enabled delegates to develop a broad understanding of the issues facing practitioners and policy makers who seek to reduce the imprisonment of women through the provision of sound, responsive resources. It also provided an update on the research advances in understanding women's offending, and further allowed delegates to increase their skills and knowledge in particular subjects.

Delegate feedback collated following the conference confirmed the success of this fully booked event. Over 120 attendees from a range of agencies and public services participated, and the international theme of the conference attracted delegates from the UK and across the globe including Australia, New Zealand and Sweden.



“Overall an excellent event – strength in the range and quality of content but also due to the representation achieved within the audience”

Which Way Now? New Directions in evidence based and gender informed practice., March 2012

**The Structured Assessment of Protective Factors (SAPROF):
Guidelines for the assessment of protective factors for
violence risk**

In November 2011 the RMA provided a one-day workshop on the SAPROF assessment tool in an effort to promote evidence based incorporation of protective factors in risk assessment. The event was led by the authors of the SAPROF, Michiel de Vries Robbé and Vivienne de Vogel. The workshop was aimed at a range of practitioners: those working in the development of practice with a good understanding of structured professional risk assessment; practitioners whose roles involve the preparation of violence risk assessments; and practitioners whose roles involve the preparation and/or delivery of risk management plans. The SAPROF is designed to complement the HCR-20, making it of particular interest to those practitioners familiar with this method.

Delegates learned about:

- Protective factors and their utility in risk assessment and management;
- How the assessment of protective factors may enhance case formulation and planning and risk communication;
- The development of the SAPROF;
- How to use the SAPROF as structured professional guidelines in practice;
- The growing research findings about SAPROF’s predictive validity and inter-rater reliability and as an indicator of progress in interventions.

Again, delegate feedback from the event was overwhelmingly positive, with comments received regarding the value of this learning opportunity and its relevance to good practice.

“I will incorporate this tool in my practice and I believe it will help criminal justice services to develop accountable, relevant and dynamic assessments”

“Thoroughly enjoyed an event where the content was entirely relevant for my practice”

The success of this event and the collaboration established with the authors allowed us to proceed to a further development: the training of key individuals to deliver ongoing training in each of the lead agencies. Six practitioners successfully completed training-for-trainers in Utrecht in March 2012, allowing for cost effective dissemination of this instrument in Scotland.



“thanks once again for an excellent conference. Can’t remember there ever being an event like that in Scotland : excellent speakers; really nice delegates; and it all ran like clockwork”

Which Way Now? New Directions in evidence based and gender informed practice., March 2012

The Order for Lifelong Restriction: Accreditation and Key Risk Management Plan activities 2011-12

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'²¹, it will make a Risk Assessment Order (RAO). With this order an Assessor accredited by the Risk Management Authority is appointed to produce a Risk Assessment Report. This report assists the High Court in its consideration of whether or not an Order for Lifelong Restriction should be imposed.

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

Three specific categories are mentioned:

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

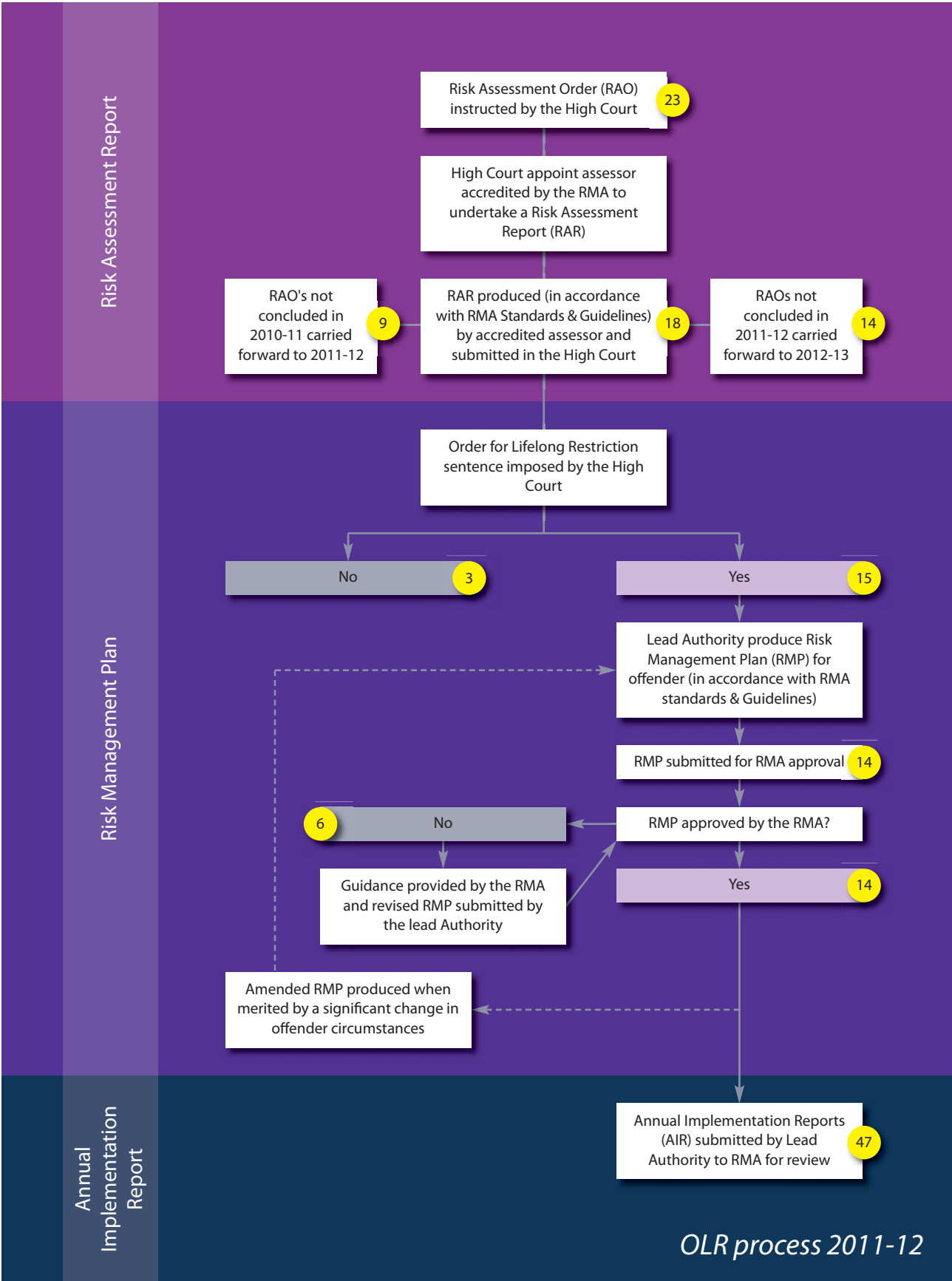


The OLR process is supported by the Risk Management Authority's Accreditation Committee. The primary function of the Accreditation Committee is to consider RMA accreditation of persons or manners of assessing and minimising risk and to assess whether they meet the RMA standard for accreditation. The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

- To decide whether an applicant has met the required competencies and standards to become an RMA risk assessor and to award accredited status if they have;
- To provide appropriate direction to RMA staff on the handling of an application for accreditation at all stages prior to a final decision on whether or not to accredit a person;
- To decide whether a manner has met the required criteria to become an RMA accredited manner and to award accredited status if it has;
- Oversee the development and review of any RMA Standards & Guidelines with regards to risk assessment and management, which Accredited Assessors must conform to.

The chart on p.23 illustrates the key elements of the OLR process; Risk Assessment Report, Risk Management Plan and Annual Implementation Report. The figures highlighted for each component of the process indicate the level of recorded activity for 2011-12.

²¹ Section 210E of the Criminal Justice (Scotland) Act 2003 Part 1



OLR process 2011-12

Key facts for 2011-12:

6 assessor accreditation applications approved

Accreditation as a risk assessor is based on a competency framework in order to apply consistent standards of assessment across different professions. The competency framework underpins the application process, which balances the required rigour with recognition that candidates for accreditation will invariably be experienced practitioners with a wide range of relevant skills. It should be noted that accredited assessors are not employees of the RMA and are commissioned directly by the High Court.

The RMA processed 11 applications and approved 6 for accreditation during the 2011-12 period, maintaining a cohort of 17 assessors accredited to undertake Risk Assessment Reports on behalf of the High Court. (see fig 1)

The RMA also facilitates a comprehensive programme of continuous professional development for accredited assessors, comprising training events, attendance at relevant conferences and regular meetings that bring the assessors together. In 2011-12, 14 accredited assessors attended training or events on subjects including personality disorder, SAPROF, women's offending, and the treatment of psychopathy.

Key facts for 2011-12:

23 Risk Assessment Orders (RAO's) instructed by the high court

18 Risk Assessment Reports (RAR's) concluded

It should be noted that RAO's instructed near 31/03/2012 are carried forward, to be concluded in the subsequent year (once an RAO has been instructed, the Accredited Assessor has 90 days to complete the Risk Assessment Report, although this can be extended).

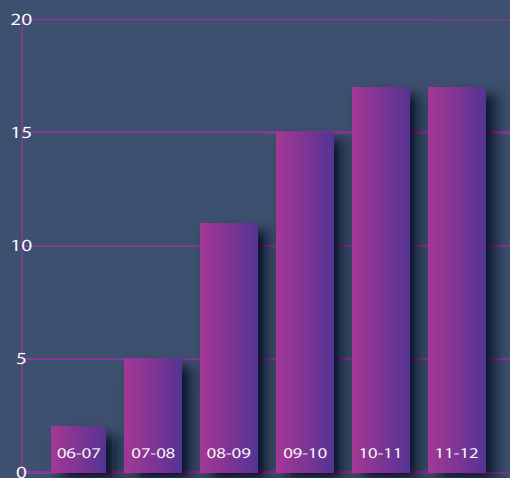


Fig 1. Number of Accredited Assessors

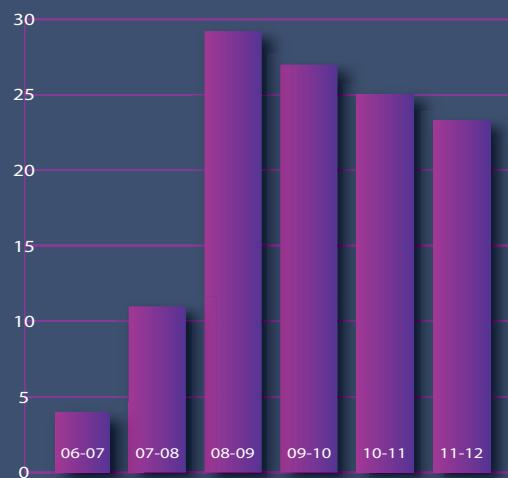


Fig 2. Number of Risk Assessment Orders issued by the court in each year

From a peak of 29 RAO's instructed in 2008-09, the number of RAO's instructed since then has decreased slightly in each subsequent year to 23 in 2011-12. To date a total of 119 RAO's have been recorded, from which 105 RAR's have been reviewed by the courts, (14 RARs carried forward into 2012-13). (see fig 2)

Since the inception of the legislation to 31 March 2012, the 105 Risk Assessment Reports considered by the High Court have resulted in a total of 81 offenders being sentenced to an OLR. (see fig 4)

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

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

Key facts for 2011-12:

15 Order for Lifelong Restriction sentences imposed by the High Court

At the outset of the Order for Lifelong Restriction 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 15 OLR's recorded for 2011-12 matches that initial estimate, a decrease in the numbers recorded for the two years previously. (see fig 3)



The primary function of the Risk Management Plan Approval Committee is to approve Risk Management Plans submitted by Lead Authorities. This Committee also has functions to:

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

In this reporting year, 14 Risk Management Plans (RMP) were approved and a total of 47 Annual Implementation Reports (AIR) were reviewed by the RMA, all within legislative timescales.

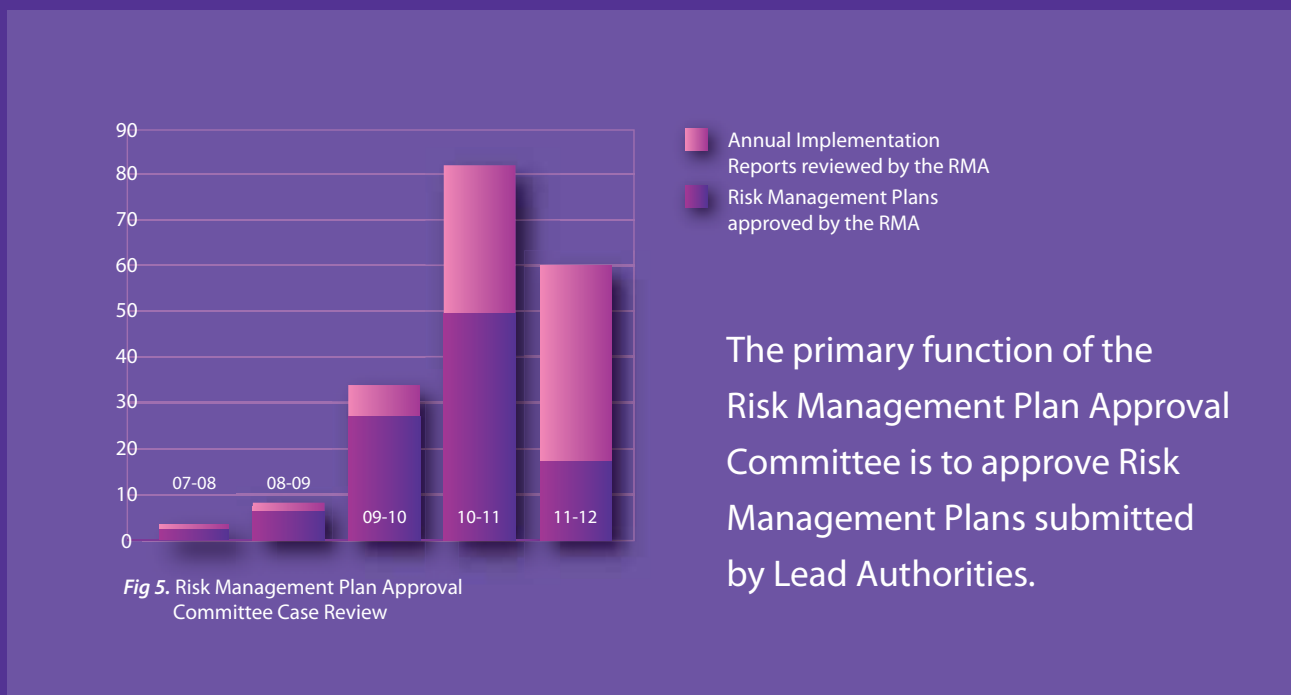
A significant change to the processing of RMPs and AIRs was implemented by the Risk Management Plan Approval Committee in October 2010. Since October 2010 revised RMPs have only been produced when merited by a significant change in the offenders circumstances. By removing the need for lead authorities to submit a new RMP for approval on an annual basis, the volume of case work for the Committee and lead authorities has been reduced. The number of RMPs approved by the Committee decreased from 53 in 2010-11 to 14 in 2011-12. Going forward it is anticipated that the number of RMPs submitted to the Committee for approval will ordinarily mirror the number of OLRs imposed in that year. However the number of AIRs reviewed by the RMA will continue to rise year on year due to their link to the cumulative total number of offenders subject to an OLR. (see fig 5)

Key facts for 2011-12:

14 Risk Management Plans approved*

47 Annual Implementation Reports reviewed

* (of this figure 6 were approved after guidance from the RMA resulting in revised plans being submitted for further consideration.)



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 two changes to report:

New Appointments: Mr Emcee Chekwas

Mr Chekwas is a Consultant Chartered Forensic Psychologist and registered member of the British Psychological Society and Health Professionals Council. He is currently in independent psychology practice providing expert witness testimony to criminal, civil and family Courts in the UK. Mr Chekwas has many years experience in assessments, management and rehabilitation of a wide range of male and female as well as young offenders. He also has specialism in Forensic Psychotherapy. He brings to the RMA a wealth of experience from six years as Therapy Manager of a 40-bed Therapeutic Community concentrating on the psychological rehabilitation of medium to high risk offenders and four years experience as head of Psychological Therapies and Consultant

for an Independent Therapeutic School for children and young people aged seven to sixteen.

Mr Chekwas holds no other Ministerial appointments. This appointment runs from 1st October 2011 and ends on 31st August 2016.

This Ministerial public appointment was made in accordance with the Commissioner for Public Appointments in Scotland's Code of Practice.

Appointments ended: Professor Don Grubin

The Board wish to extend their gratitude and best wishes to Professor Grubin whose appointment to the RMA Board ended in December 2011. Professor Grubin served on the RMA Board for four 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 Research & Training Committee..

The RMA Board members are:

Convener: Mr Peter Johnston

Board Members: Professor Jim McManus
Mr Peter Withers
Professor Hazel Kemshall
Mr Jim Green
Dr Anne MacDonald
Dr Joanne Wood
Mr Emcee Chekwas

The Register of Members' interests is available on the RMA's website 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.

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.

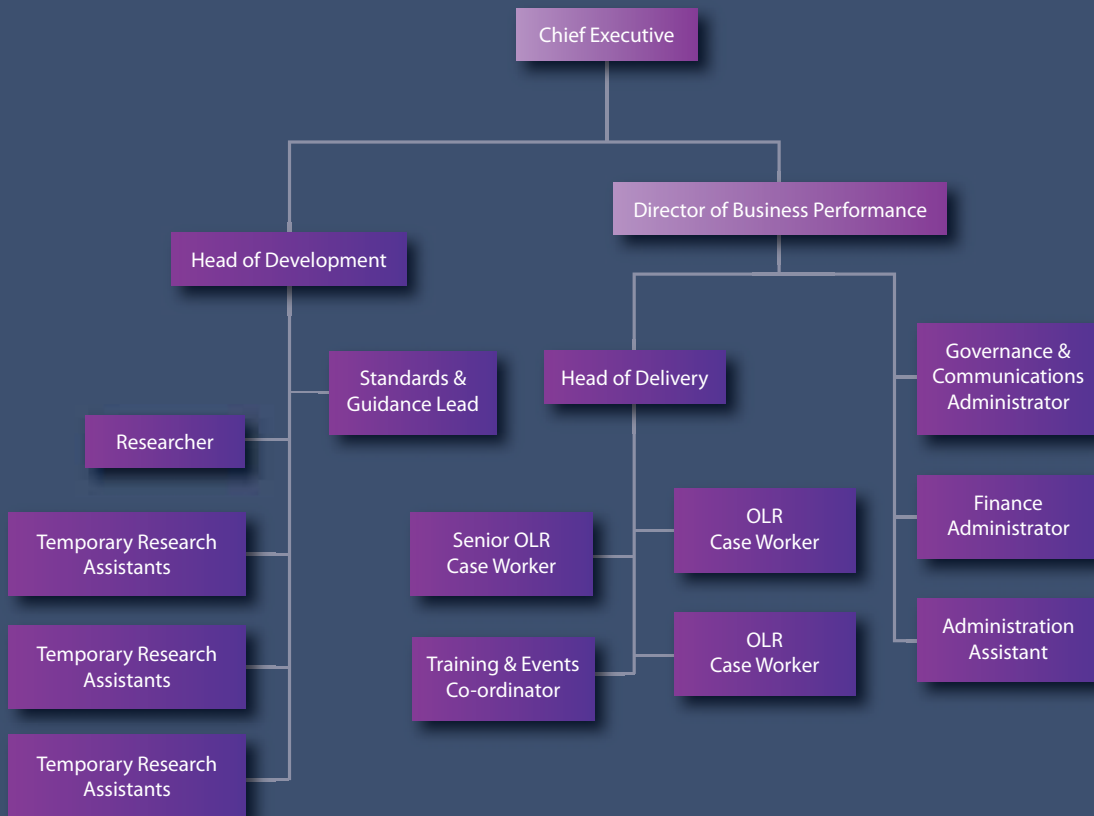
Staff Resource

Paul Keoghan joined the Risk Management Authority 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 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 thirteen permanent 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 guidance. In 2011-12 the decision was made to revise the RMA staff structure, removing the post of Research Lead and creating an additional OLR Case Worker position. This was done to accommodate increasing OLR case management-workload levels, ensuring the RMA's capacity to meet legislative requirements in this area. To support the delivery of development projects and research activity, the RMA recruited three temporary Research Assistants in November 2011. These contracts will run through to November 2012, with staff contributions made to project work including LS/CMI, RATED and SA07.

Key facts 2011-12:

6 members of staff recruited by the RMA



Freedom of Information

Position	Recruitment date
OLR Case Worker (Temporary Contract)	Apr 2011
Quality Assurance Lead (Temporary Contract)	June 2011
Finance Administrator	Aug 2011
3 x Research Assistants (Temporary Contract)	Nov 2011

During the year 3 members of staff left the RMA:

Position	Date left
Finance Administrator	Aug 2011
Research Lead	Nov 2011
Temporary OLR Case Worker	Mar 2012

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 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 makes available. The RMA adopted a new Publication scheme in 2011-12, which was approved by the Scottish Information Commissioner, who is responsible for enforcing FOISA. In developing this scheme, the RMA was mindful of the value, both to the public, and to our operation, of the principles of openness and transparency.

Key facts for 2011-12:

14 RMA staff attended
33 training courses
during the year

6 RMA staff attended
11 relevant
conferences and
seminars

Key facts for 2011-12:

31 responses made to
Freedom Of
Information
requests received
by the RMA

In 2011-12 the RMA received 32 requests under FOISA. Under the legislative guidelines for FOISA, public authorities have 20 working days to provide their response. 1 request was received by the RMA at the end of the financial year and was therefore carried forward into 2012-13. All 31 of the remaining requests were responded to within the legislative guidelines of 20 working days.

Courses attended included training on Prince2, Diversity Awareness, Female sexual abusers awareness training, Enhancing skills in clinical case formulation, Prison and Personality Disordered Offenders, SAPROF, and Quality Assurance. Relevant conferences and events attended included the NOTA Sex Offender Practitioner Forum, ADSW Criminal Justice Conference, NOTA MAPPA Health Event and IAFMHS.

Website

Great use was made of the RMA website in 2011-12 to publicise relevant activity and promote best practice to as wide an audience as possible. The RMA were successful in attracting a high number of visitors to the website; these visitors were predominately from the UK, however notable visitor numbers were also recorded from across the globe including the United States, Canada and Australia.

14,584

unique visits to the RMA website



Key facts for 2011-12:



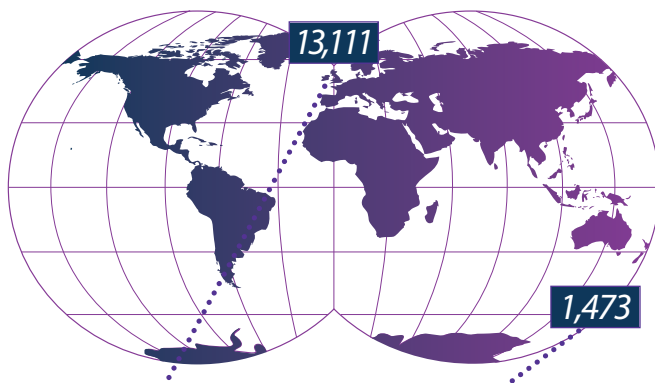
8,663

unique visitors to the RMA website

69,799

times RMA website pages viewed

Unique visits to the RMA website



UK

13,111

International

1,473

Most popular web pages / sections

Supporting Best Practice section	17,219 views
Publications section	9,358 views
Events section	3,594 views
About the RMA section	6,957 views
FRAME	1,959 views
Standards & Guidelines	1,089 views

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 five-strand strategic vision, based on five business drivers, is reflected in our Business Plan for 2012-13. This document outlines the Performance Targets and corresponding Key Performance Indicators that will contribute to each business driver.

In summary, the Risk Management Authority will aim to deliver high standard public services as a key resource for agencies involved in the risk assessment and management of serious offenders. To achieve this, the key areas of work which the Risk Management Authority will concentrate on during the next reporting year are:

Driver 1: Best Practice

The key objectives in 2012-13 will be:

- 1 To deliver cost neutral training events and conferences
- 2 Host consultation events to support the implementation of the revised Standards & Guideline and RATED
- 3 Engage with Scottish Government & Stakeholders to ensure the FRAME remains a focus of the Government's new programme

Driver 2: Research and Innovation

The key objectives in 2012-13 will be:

- 1 To engage with stakeholders to agree the production of normative data for commonly used actuarial tools;
- 2 Further support LS/CMI through the establishment of self sufficiency mechanisms to evaluate practice;
- 3 Progress the research study on one-to-one supervision to implementation stage.

Driver 3: Setting the Standard

The key objectives in 2012-13 will be:

- 1 Finalise processes for risk management of OLR offenders in community settings;
- 2 Conduct a governance review of RMP Approval and Accreditation processes;
- 3 Complete the revision of the Standards, Guidelines and Guidance for Risk Assessment and Risk Management;
- 4 Deliver stakeholder events on Standards & Guidelines for management of OLR Offenders in community settings.



Driver 4: Raising the Standard

The key objectives in 2012-13 will be:

- 1 To continue supporting the implementation of the LS/CMI through evaluation engagement with trainers and mentors on feedback and development of a quality assurance model;
- 2 Promote the implementation of the Risk Management Planning and Practice training course;
- 3 Support stakeholders on risk practice matters.

Driver 5: Improving the Standard

The key objectives in 2012-13 will be:

- 1 Develop project plan and policy to support office relocation;
- 2 Provide HR training to line managers;
- 3 Develop Finance Manual;
- 4 Review information requirements of RMA Board & Committees;
- 5 Develop new Corporate Plan;
- 6 Develop use of IT systems through case file management and publications.



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

Annual Accounts 2011-12

Financial Performance

Introduction

These annual accounts report the results of the Risk Management Authority for the year 1 April 2011 to 31 March 2012. 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 financial statements for issue on 16 July 2012.

Financial results

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

The financial statements for the year ended 31 March 2012 are set out in pages 43 - 44. The Notes to the annual accounts on pages 45 - 49 form part of the annual accounts.

For the year 2011-12 the Risk Management Authority total expenditure budget amounted to £1.1. This was funded primarily from Scottish Government in the form of grant-in-aid of £1m with a further £44k received from Scottish Government to support work in relation to national rollout of the LS\CMI. The Risk Management Authority generated a further £38k income through its conference and events activities.

All expenditure incurred during 2011-12 was within agreed budgetary provision.

Changes in Non-Current Assets

The Risk Management Authority did not acquire 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 2012.

Payment Performance

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

Overall, the Risk Management Authority paid 98% of all invoices received within the terms of the payment policy. Of the 2% of invoices not paid within the terms of the policy, payment in 100% of these was beyond the Risk Management Authority'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 Risk Management Authority. This compares with performance in 2009-10 whereby late payments amounted to 8%.

The Risk Management Authority observes the principles of the Better Payment Procedure Code.

Equal Opportunities

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

People with Disabilities

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

Staff Involvement and Development

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

During 2011-12, employees attended thirty three training courses and eleven conferences/seminars. This compared with 2010-11 where employees attended twenty two training courses and five conferences/seminars.

The Risk Management Authority encourages staff involvement in the business planning processes and the on-going development of the organisation's work. A corporate training strategy and individual personal development plans were adhered to during 2011-12 for the on-going development of all staff. The Risk Management Authority 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 Risk Management Authority has seen an increase in the level of absence due to sickness. A total of 243 days was recorded as absence due to sickness, representing an absence rate of 5.99%. This compares to a total absence of 217 days in 2010-11 indicating an absence rate of 5.66%.

Personal Data Incidents

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

Pension Costs

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

Auditors

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

Disclosure of information to auditors

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



Yvonne Gailey
Chief Executive and Accountable Officer
16 July 2012

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 Risk Management Authority has in place a Remuneration Committee, current membership of the Committee is Mr Peter Johnston, Mr Peter Withers, Mr James 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 Risk Management Authority'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 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 Risk Management Authority, 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 Risk Management Authority's 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 2010-11 and 2011-12 and have been audited by the Risk Management Authority's auditors.

Executive & Non-Executive Directors' Remuneration

	2011-12 Salary (£'000)	2010-11 Salary (£'000)
Mr Peter Johnston, Convener	5 - 10	5 - 10
Professor Jim McManus, Board Member	5 - 10	5 - 10
Mr Peter Withers, Board Member	5 - 10	5 - 10
Professor Hazel Kemshall, Board Member	5 - 10	5 - 10
Mr James H Green, Board Member	5 - 10	5 - 10
Dr Anne MacDonald, Board Member	5 - 10	5 - 10
Dr Joanne Wood, Board Member	5 - 10	0 - 5
Mr Emcee Chekwes (from 1 Sept 2011)	0 - 5	–
Professor Don Grubin, Board Member (until 31 Dec 2011)	0 - 5	5 - 10
Ms Morag Slessor, Board Member (until 31 May 2010)	–	0 - 5
Ms Yvonne Gailey, Chief Executive	65 - 70	65 - 70
Mr Paul Keoghan, Director of Business Performance	55 - 60	55 - 60

Performance Related Pay

	2011-12 £	2010-11 £
Mr Paul Keoghan, Director of Business Performance	–	1,379

Top to Median Staff Pay Multiples

	2011-12	2010-11
Band of Highest Paid Director's Total Remuneration (£ '000)	65-70	65-70
Median Total Remuneration (£)	28,045	27,362
Ratio	2.3	2.4

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid director in their organisation and the median remuneration of the organisation's workforce.

The banded remuneration of the highest-paid director in the Risk Management Authority in the financial year 2011-12 was £65k - £70k (2010-11, £65k - £70k). This was 2.3 times (2010-11, 2.4) the median remuneration of the workforce, which was £28,045 (2010-11, £27,362).

Total remuneration includes salary, non-consolidated performance-related pay, benefits-in-kind as well as severance payments. It does not include employer pension contributions and the cash equivalent transfer value of pensions.

Pension Benefits

	Accrued pension at age 60 as at 31/3/12 and related lump sum	Real increase in pension and related lump sum at age 60	CETV at 31/3/12 £'000	CETV at 31/3/11 £'000	Real increase in CETV £'000
Executive Director					
Ms Yvonne Gailey	5.0 – 7.5	0 – 2.5	107	86	12
Mr Paul Keoghan	2.5 – 5.0	0 – 2.5	29	19	6

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.

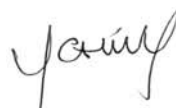
Further details about the Civil Service Pension arrangements can be found at the website www.civilservice-pensions.gov.uk

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

16 July 2012

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.

Governance Statement

Scope of responsibility

As Accountable Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of the Risk Management Authority's policies, aims and objectives, whilst safeguarding the public funds and the 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 Governance Framework

The Risk Management Authority's governance framework is clearly defined within the context of the Management Statement and Financial Memorandum which specifically addresses:

- the functions, duties and powers of the Risk Management Authority;
- aims, objectives and targets;
- the responsibilities of the Convener, the Board and the Chief Executive;
- planning, budgeting and control;
- external accountability;
- staff management;
- reviewing the Risk Management Authority's role; and
- key financial and operating procedures.

The governance framework is further supported by a Code of Conduct for Board Members and a Risk Management Strategy which sets how significant risks facing the Risk Management Authority in the delivery of its corporate aims and objectives

will be identified, evaluated and appropriately managed.

The Board

The Board has corporate responsibility for ensuring the Risk Management Authority fulfils the aims and objectives set by Scottish Ministers and for promoting the efficient and effective use of staff and other resources in accordance with the principles of Best Value. The Board is supported by an Accreditation Committee, Appeals Committee, Risk Management Plan Approval Committee, Research & Training Committee, Audit Committee and Remuneration Committee.

During 2011-12 the Board met formally on seven occasions. All meetings of the Board were quorate and on each occasion a full set of minutes were produced to record all agreed actions and decisions. On each occasion all Members submitted any declarations of interest and gifts and hospitality, with a full record made on the minutes in compliance with the Code of Conduct. In accordance with the Risk Management Authority's Publication Scheme, edited versions of these minutes are available on the website, www.rmascotland.gsi.gov.uk

During the course of the year one Board Member completed their term of office and one new Board Member was appointed. The Risk Management Authority has a Board Induction Programme in place which includes attendance at CIPFA On Board Training and a comprehensive Board Member's Handbook.

Risk Management

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.

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.

The Risk Management Authority has a documented risk management strategy which 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.

Assessment of Corporate Governance and Risk Management Arrangements

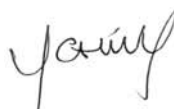
As Accountable Officer, I have responsibility for overseeing the Risk Management Authority's corporate governance arrangements including compliance with generally accepted best practice principles and relevant guidance. In addition I have responsibility for reviewing the effectiveness of the Risk Management Authority's risk management arrangements and system of internal control. My review of the effectiveness of these systems has been informed by the following key processes:

- the management team within the Risk Management Authority who have responsibility for the development and maintenance of governance, performance and internal controls frameworks;
- the Board who has responsibility for receiving, monitoring and commenting on regular management reports on governance matters, performance outcomes and risk management;
- the work of the Risk Management Authority's Audit Committee as delegated by the Board which includes ongoing review of the Authority's external assurance functions and internal assessments on governance, risk and Best Value;
- the work of the internal auditors, who submit to the Risk Management Authority'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;
- comments made by the external auditors in their management letters and other reports.

My review and assessment has been informed directly by the following key processes which have operated continuously and effectively during the course of 2011-12:

- meetings of the Board to consider, policies, plans and the strategic direction of the Risk Management Authority;
- 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 by internal audit 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;
- meetings of the Risk Management Authority's Audit Committee;
- regular meetings with staff on business plan objectives and risk identification;
- a system of key performance and risk indicators;
- a risk register for the Authority.

As Accountable Officer I can confirm that I am fully content with the effectiveness of the Risk Management Authority's existing arrangements to ensure appropriate standards of corporate governance and effective risk management. I can also confirm that there were no significant control weakness or identified lapses in data security during 2011-12.



Yvonne Gailey
Chief Executive and Accountable Officer
16 July 2012

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

I have audited the financial statements of the Risk Management Authority for the year the year ended 31 March 2012 under the Criminal Justice (Scotland) Act 2003. The financial statements comprise of the Statement of Comprehensive Net Expenditure, Statement of Financial Position, the Statement of Cash Flows, the Statement of Changes in Taxpayers' Equity and the related notes. 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 2011/12 Government Financial Reporting Manual (the 2011/12 FReM).

This report is made solely to the parties to whom it is addressed in accordance with the Public Finance and Accountability (Scotland) Act 2000 and for no other purpose. In accordance with paragraph 125 of the Code of Audit Practice approved by the Auditor General for Scotland, I do not undertake to have responsibilities to members or officers, in their individual capacities, or to third parties.

Respective responsibilities of the board, accountable officer and auditor

As explained more fully in the Statement of the Accountable Officer's Responsibilities, the board and Accountable Officer are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. The Accountable Officer is also responsible for ensuring the regularity of expenditure and income. My 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 me to comply with the Auditing Practices Board's Ethical Standards for Auditors. I am also responsible for giving an opinion on the regularity of expenditure and income.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts, disclosures, and regularity of expenditure and income 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 body'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, I read all the financial and non-financial information in the annual report to identify material inconsistencies with the audited financial statements. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my report.

Opinion on financial statements

In my opinion the financial statements:

- give a true and fair view in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers of the state of the body's affairs as at 31 March 2012 and of its net operating cost for the year then ended;
- have been properly prepared in accordance with IFRSs as adopted by the European Union, as interpreted and adapted by the 2011/12 FReM; and
- have been prepared in accordance with the requirements of the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers.

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

Opinion on regularity

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

Opinion on other prescribed matters

In my 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 Convener's Foreword to the Annual Report and Accounts and in the Management Commentary, Board and Senior Staff and Public Interest Reporting sections of the Annual Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

Matters on which I am required to report by exception

I am required to report to you if, in my 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
- I have not received all the information and explanations I require for my audit; or
- the Corporate Governance Statement does not comply with guidance from the Scottish Ministers.

I have nothing to report in respect of these matters.

Asif A Haseeb

Audit Scotland
7th Floor Plaza Tower
East Kilbride G74 1LW

Statement of Comprehensive Net Expenditure

For the year ended 31 March 2012

	Notes	2011-12 £'000	2010-11 £'000
Expenditure			
Staff costs	2	698	610
Other admin costs	3	384	410
		1,082	1,020
Income			
Income From Activities	4	(38)	(32)
Net Operating Costs		1,044	988

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

Statement of Financial Position

As at 31 March 2012

	Notes	2011-12 £'000	2010-11 £'000
Non-current assets			
Property, plant and equipment	5	21	33
Intangible assets	6	-	-
Total non-current assets		21	33
Current assets			
Trade and other receivables	8	9	14
Cash and cash equivalents	9	384	322
Total current assets		393	336
Total assets		414	369
Current liabilities			
Trade and other payables	10	278	245
Total current liabilities		278	245
Non current assets plus net current assets		136	124
Non-current liabilities			
Provisions	11	36	24
Total non-current liabilities		36	24
Total liabilities		314	269
Assets less liabilities		100	100
Taxpayers Equity			
General Reserve		100	100
Total taxpayers equity		100	100

Signed on behalf of the Authority



Yvonne Gailey
Chief Executive and Accountable Officer
16 July 2012

Statement of Cash Flows

For the year ended 31 March 2012

	Notes	2011-12 £'000	2010-11 £'000
Cash flows from operating activities			
Net operating cost		(1,044)	(988)
Adjustments for non-cash transactions			
Depreciation	5,6	12	46
Movements in working capital			
(Increase)/decrease in trade and other receivables	8	5	(14)
Increase/(decrease) in trade and other payables	10	33	(128)
Increase in provisions		12	12
Net cash outflow from operating activities		(982)	(1,072)
Cash flows from investing activities			
Purchase of property, plant and equipment	5	-	(24)
Net cash flow used in investing activities		-	(24)
Cash flows from financing activities			
Scottish Government Grant		1,044	1,000
Net cash flow from financing		1,044	1,000
Net (decrease)/increase in cash and cash equivalents		62	(96)
Cash and cash equivalents at beginning of period	9	322	418
Cash and cash equivalents at end of period	9	384	322

Statement of Changes in Taxpayers' Equity

For the year ended 31 March 2012

	Notes	2011-12 £'000	2010-11 £'000
General Reserve			
Balance at 1 April		100	88
Net operating cost for the year	4	(1,044)	(988)
Grant from Scottish Government		1,044	1,000
Balance at 31 March		100	100

Notes to the Accounts

For the year ended 31 March 2012

1. Accounting policies

Statement of accounting policies

These Accounts have been prepared in accordance with the Government Financial Reporting Manual (FReM) 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 that are 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 fair 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:

Buildings	over 10 yrs
Furniture & Fittings	over 5 yrs
Equipment	over 5 yrs
Information Technology	over 3 yrs
Software	over 3 yrs

All building and furniture & fittings will be fully written down to coincide with the expiry of the building lease on 28 February 2014.

(c) Intangible Assets

The threshold for capitalisation of Intangible Assets is £1000. Amortised historic cost has been used as a proxy for fair value of plant and machinery.

Intangible Assets are amortised at rates calculated to write them down to estimated residual value on a straight line basis over their estimated useful lives of three years.

(d) Receivables

All material amounts outstanding at 31 March 2012 have been brought into account irrespective of when actual payments were made.

(e) Payables

All material amounts outstanding at 31 March 2012 have been brought into account irrespective of when actual payments were made.

(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 reserve. 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 reserve.

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

2011-12 £'000	2010-11 £'000
52	49
-	1
52	50

Administrative staff

Wages and salaries

Social Security costs

Pension costs

Agency staff

Total administrative Staff

2011-12 £'000	2010-11 £'000
502	422
43	33
91	79
10	26
646	560

Total Staff Costs

698	610
------------	------------

Average number of employees during the year:

Authority Members

Staff

No.	No.
8	8
16	12

3. Other Administrative Costs

Accommodation

Office equipment and furniture

Research and consultancy

IT Support

Training

Legal Fees & Expenses

Supplies & Services

Stationery

Advertising

Catering and Hospitality

Expenses and Travel

Other Office Costs

Internal Audit Fee

External Audit Fee

Practitioner training

Depreciation

Total

2011-12 £'000	2010-11 £'000
70	61
5	8
157	41
21	18
11	14
2	24
14	13
13	3
-	-
2	1
21	17
52	71
11	6
2	9
(9)	78
12	46
384	410

4. Income from Activities

Event and conference income

2011-12 £'000	2010-11 £'000
38	32

5. Property, plant and equipment

	Buildings £'000	Equipment £'000	Information Technology £'000	Furniture & Fittings £'000	Total £'000
Cost					
Balance at 1 April 2011	38	32	20	10	100
Additions	-	-	-	-	-
Disposals	-	-	-	-	-
Balance at 31 March 2012	38	32	20	10	100
Depreciation					
Balance at 1 April 2011	23	29	13	2	67
Charge for year	5	1	3	3	12
Disposals	-	-	-	-	-
Balance at 31 March 2012	28	30	16	5	79
NBV at 31 March 2012	10	2	4	5	21
NBV at 31 March 2011	15	3	7	8	33
Analysis of asset financing:					
Owned	10	2	4	5	21
Finance leased	-	-	-	-	-
NBV at 31 March 2012	10	2	4	5	21

6. Intangible Assets

	Software £'000	Total £'000
Cost		
Balance at 1 April 2011	106	106
Additions	-	-
Disposals	-	-
Balance at 31 March 2012	106	106
Depreciation		
Balance at 1 April 2011	106	106
Charge for year	-	-
Disposals	-	-
Balance at 31 March 2012	106	106
NBV at 31 March 2012	-	-
NBV at 31 March 2011	-	-
Analysis of asset financing:		
Owned	-	-
Finance leased	-	-
NBV at 31 March 2012	-	-

7. 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.

8. Trade Receivables and other current assets

	2011-12 £'000	2010-11 £'000
Amounts falling due within one year:		
Other receivables	9	14
Total receivable within 1 year	9	14

9. Cash and cash equivalents

	2011-12 £'000	2010-11 £'000
Balance at 1 April	322	418
Net change in cash and cash equivalent balances	62	(96)
Balance at 31 March	384	322
The following balances at 31 March were held at:		
Office of the HM Paymaster General	-	-
Commercial banks and cash in hand	384	322
Balance at 31 March	384	322

10. Trade payables and other current liabilities

	2011-12 £'000	2010-11 £'000
Amounts falling due within one year:		
Other payables	-	21
Accruals and deferred income	278	224
Total due within one year	278	245

11. 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.

	2011-12 £'000	2010-11 £'000
Balance at 1 April	24	12
Provided in year	12	12
Balance at 31 March	36	24

12. 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. With the exception of those noted below none of the Authority members or key managerial staff has undertaken any material transactions with the Risk Management Authority during the year.

RMA Board member Professor Jim McManus - contract awarded to develop Court Room Skills course; value £8,250.

13. 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.

14. Commitments under leases

The total value of commitments under operating leases is £79,000.

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 2012 £'000	31 March 2011 £'000
41	41
38	79
-	-

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



RISK MANAGEMENT AUTHORITY

DIRECTION BY THE SCOTTISH MINISTERS

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

A member of the staff of the Scottish Ministers

Dated 10 February 2006

Appendix A

Strategy 1: Best Practice	
Performance Targets	Details
<p>Supporting Evidence-based policy</p> <p>We work towards achieving best practice through promoting ourselves and ensuring our contribution and influence to policies and practices through promoting ourselves to key stakeholder groups and critical working parties.</p>	<ul style="list-style-type: none"> Contributions made through participation at a number of national working groups, including FRAME, LS/CMI and Effective Community Disposals. Other relevant groups supported included Young People Workstream, Offender Management Working Group, HRO Steering Group, ACPOS, RRP Project Managers Forum, Good Lives Advisory Group and CJSW PQ group
<p>External Events</p> <p>Through coordinating national and international conferences, workshops and training events we can work towards promoting best practice to target audiences within the field of risk assessment and management.</p>	<ul style="list-style-type: none"> Delivery of an international conference on women's offending, contributing to the sharing of expertise and good practice Delivery of a seminar on the SAPROF risk assessment tool to managers and practitioners Delivery of presentations and posters on FRAME, LS/CMI and SA07 at events and working groups, including IAF MHS, NOTA, Youth Justice and MAPPA

Strategy 2: Research & Innovation	
Performance Targets	Details
<p>FRAME</p> <p>The development and dissemination of a consistent and shared approach to risk management practice through an ambitious programme of change known as FRAME: a Framework for Risk Assessment, Management and Evaluation.</p>	<ul style="list-style-type: none"> FRAME Policy Paper published, developed in conjunction with the key criminal justice agencies including police, prison, criminal justice social work, and forensic mental health services, providing an agreed template for stakeholder approaches to risk assessment, management and evaluation
<p>LSCMI</p> <p>Supporting and participating in the national adoption of the LSCMI, a case management inventory, to ensure that it is implemented in a manner consistent with the above FRAME programme.</p>	<ul style="list-style-type: none"> Contributions made and support provided to the roll out of LS/CMI across Scotland (the risk assessment and case management system that will now be used as the common instrument within both the Scottish Prison Service and Criminal Justice Social Work). LS/CMI Learning Evaluation reports produced and distributed to stakeholders
<p>SA07</p> <p>We will deliver an evaluation of the risk assessment tool, Stable and Acute 2007 and its contribution to the management of sex offenders.</p>	<ul style="list-style-type: none"> Support provided to the improvement initiatives of SA07, with an event on quality assurance held in March 2012
<p>Offender Risk/Need Profiles</p> <p>We will make use of the data arising from the implementation of LS/CMI to increase understanding of offender types, and so inform practice, service delivery and policy</p>	<ul style="list-style-type: none"> Agreement reached for RMA staff to undertake an analysis of data arising for the implementation of LS/CMI
<p>Evaluation & Research</p> <p>We will continue to identify and provide means by which we may further Scotland's knowledge and expertise in risk assessment and management</p>	<ul style="list-style-type: none"> Business case approved regarding EEPICS - a new project to enhance one to one supervision practices. A project advisory group established and development work commenced

Strategy 3: Setting the Standard	
Performance Targets	Details
<p>Accreditations We will ensure that evidence of a high standard is provided before persons (Assessors) and manners (methods) are accredited by the RMA</p>	<ul style="list-style-type: none"> • Task to conduct a review of RMA internal processes re accreditations carried forward to next year
<p>Quality Assurance of Risk Assessment Reports We will develop systems to monitor quality to ensure sustained best practice in the preparation of Risk Assessment Reports.</p>	<ul style="list-style-type: none"> • No KPI for this target in 2011-12. A quality assurance mechanism for Risk Assessment Reports was implemented in 2010-11, to ensure adherence to RMA Standards & Guidelines for Risk Assessment
<p>Quality Assurance of RMP Process We will 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"> • Project Plans devised to support the development of revised Standards & Guidelines for Risk Management • Extended consultation and engagement with stakeholders (including representatives from the Scottish Government, MAPPA, NHS, the Police, Prison Service and the Parole Board) to develop revised Standards & Guidelines and Guidance, particularly in relation to the OLR post-release process. • Progress made to create guidance on information sharing for agencies, courts, the NHS and Accredited Assessors
<p>Publications We will produce a portfolio of resources and data that will inform and support practitioners to assure the effectiveness of risk management working practices. In addition, we will continue to revise RATED, the Risk Assessment Tools Evaluation Directory and through this and other means provide updated guidance on the development and provenance of the range of internationally available tools.</p>	<ul style="list-style-type: none"> • Increasing use made of the RMA website to enhance the distribution of RMA publications including the FRAME Policy paper, LS/CMI evaluation reports and RMA event material. • Support provided to ACPOS regarding revisions to their Offender Management Course

Strategy 4: Raise the Standards	
Performance Targets	Details
<p>Generic Training activities to support FRAME We will collaborate with our partners to build skills development programmes to prepare and support all those working within FRAME.</p>	<ul style="list-style-type: none"> • Contributions made to the LS/CMI National Working Group • LS/CMI briefing events and feedback sessions delivered as part of the RMA support to the roll out of the LS/CMI to SPS and CJSW practitioners across Scotland • Evaluations conducted of pre and post LS/CMI training via the RMA website • Evaluation reports produced regarding the quality of LS/CMI training and early implementation • Support provided to LS/CMI trainers and a master trainer programme commissioned. Agreement reached on gathering normative LS/CMI data
<p>Tier-Specific Training for FRAME We will collaborate with our partners to identify and design training and development programmes appropriate to each of the three tiers of FRAME</p>	<ul style="list-style-type: none"> • Risk Management Planning and Practice course (RMPP) for tier 3 of FRAME drafted and reviewed • Commissioned the development of tiered training materials on risk assessment
<p>Information Dissemination We will promote effective dissemination of information by various media.</p>	<ul style="list-style-type: none"> • Project Advisory Group established to oversee the development of EEPICS – Enhancing Effective Practice In Community Supervision. Contracts commissioned to develop materials for pilot project.

Strategy 5: Improving the Service	
Performance Targets	Details
<p>Human Resources We will adhere to our human resource policies and align our activities to the corporate strategies.</p>	<ul style="list-style-type: none"> • Increased number of RMA staff trained to support existing OLR casework processes. • Review completed of all RMA HR policies and procedures, and a new staff handbook created. • Staff appraisal system reviewed. • Staff trained in Prince2 project management techniques; utilised in the development of project plans for the revised RMA Standards & Guidelines and FRAME.
<p>Communications We will review, update and implement internal and external communication policies and procedures in line with the corporate strategies</p>	<ul style="list-style-type: none"> • Supporting Best Practice section of the RMA website further developed to support project initiatives, including evaluations of LS/CMI training and question & answer sections. • System established to enable accredited assessors to access RMA library items.
<p>Information Technology We will investigate and realise potential in IT applications and exploit its use to support and improve the services we provide</p>	<ul style="list-style-type: none"> • Further development of a computer-based system to host restricted level data for Accreditations and OLR-related case management.
<p>Governance & Management We will enhance systems that facilitate the governance of RMA management processes.</p>	<ul style="list-style-type: none"> • New RMA Security Policy and Procedure created. • Quality assurance system for the RMA website implemented. • New monitoring system for RMA Environmental Policy implemented. • RMP Approval Committee quality assurance systems developed and implemented, to inform/maintain high standards and consistency in RMPs and AIRs produced by lead authorities.
<p>Finance We will maximise our capabilities through effective financial Management</p>	<ul style="list-style-type: none"> • Task to develop pricing structure to support the cost of printed versions of RATED carried forward to next year.
<p>Sustainability We will work to maintain corporate sustainability for the RMA while ensuring that we reduce our impact on the environment</p>	<ul style="list-style-type: none"> • Preliminary discussions held with Scottish Government regarding the relocation of RMA offices in 2014. • Scoping exercise conducted of relocation policies and procedures.

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
COPFS	Crown Office 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 Arrangement	Community Management of Offenders
NDPB	Non-Departmental Public Body	A public organisation that is self-governing but accountable to and funded by Government
OLR	Order for Lifelong Restriction	Sentence providing for lifelong management of high risk violent and sexual offenders. Requires implementation and review of an RMA approved risk management plan for offenders in custody and in the community. Includes a punishment part, spending minimum period in secure custody
RAO	Risk Assessment Order	Issued by the High Court regarding an offender who is being considered for an Order for Lifelong Restriction
RAR	Risk Assessment Report	Produced by an RMA Accredited Assessor on behalf of the High Court for someone who is subject to a Risk Assessment Order
RATED	Risk Assessment Tool Evaluation Directory	Directory of Risk Assessment Tools
RMP	Risk Management Plan	Required by law, for an offender subject to an Order for Lifelong Restriction, approved by the Risk Management Authority. A Risk Management Plan is prepared by the lead authority
SA07	Stable and Acute 2007	Risk Assessment Tool
SAPROF	Structured Assessment of Protective Factors	Risk Assessment Tool
SPS	Scottish Prison Service	Scottish Government Agency

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