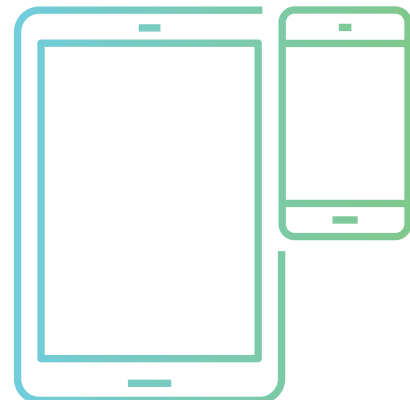


2016-17

Annual Report and Accounts



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Overview



Standards
& Guidelines
for Risk
Management
published

304

Social workers
Police staff
MAPPA chairs
trained in risk
practice



4

Assessors
accredited



400

responses
to LS/CMI
practitioner
queries

4

Inputs provided
to the Judicial
Institute



23

Risk Management
Plans approved



Chief Executive's Commentary

As Chief Executive and Accountable Officer of the Risk Management Authority (RMA) I introduce this section of our annual report, which details our activities over the past twelve months against our business plan objectives.

Our work is driven by a commitment to promote best practice in risk assessment and risk management, recognising its vital dual role in protecting the public from serious harm caused by violent and sexual offending, and enabling those who pose this risk to reduce it.

2016-2017 saw the consolidation of a number of key initiatives that have been progressed in recent years.

Last year, I reported on a large-scale and intensive delivery of a training programme – The Fundamentals of Risk Practice, designed to advance criminal justice social workers' skills in the assessment and management of risk of serious harm, and to support Police Scotland's officers in collaborating in such risk practice.

The delivery of this training continued this year, with the satisfaction rates of knowledge gain and learning outcomes remaining high. I consider it an important achievement that the quality and relevance of this training are demonstrated and that it contributes to increased confidence and competence. I am particularly pleased to report that we are in the midst of positive discussions with Scottish Government about means to ensure sustained and sustainable delivery of this training.

A parallel initiative, over recent years, has been the development of a FRAME-consistent¹ practice method designed to meet the role of the Police Offender Management Officer. This year the method (Police Practice Process) has been field tested by Police Scotland with positive feedback and an expressed desire to commence implementation and evaluation in the coming year.

On the specific duties associated with the OLR, the RMA has maintained a robust approach to accreditation (ensuring that there was an appropriate number of accredited assessors to meet High Court requirement) and approval (all risk management plans were approved within the statutory timeframe) and continued the regular task of reviewing and improving processes to increase effectiveness and efficiency.



Yvonne Gailey
Chief Executive

¹ Framework for Risk Assessment, Management and Evaluation.

"Our work is driven by a commitment to promote best practice in risk assessment and risk management, recognising its vital dual role in protecting the public from serious harm..."

An achievement reported last year was the development of a leaner approach to annual implementation reporting that meets the legislative requirements and supports good risk management practice. Launched in 2016, it very quickly showed the desired outcome of increased efficiency; SPS colleagues welcomed the revised approach and responded enthusiastically to it, identifying that it promotes effective monitoring of case progress and dynamic risk practice. We are now poised to implement in the coming year, a similarly revised process for the approval of risk management plans.

I am especially pleased to report real progress in relation to the risks associated with our budgetary position. It is as yet too early to report on the specific outcomes, but suffice to say, that we have sufficient confidence to have begun the recruitment of key posts that will enable us to continue our valuable contribution to the wider field of criminal justice.

As always our progress has been realised through collaboration with key stakeholders, and the commitment of a valued team of staff and Board members. In this report I wish to focus on the contribution of Board members as it has been a year of considerable change and challenge. Through a combination of anticipated and unexpected retirement of four board members, the RMA faced the turnover of 50% of its members, involving the loss of valued personnel.

Peter Johnston, who served the RMA devotedly for 10 years, reached the end of his final term in September 2016. As Convener he led the RMA through times of success, change and challenge, approaching all of them in a calm, diplomatic and positive manner. He guided the RMA in its formative years, and left us with a legacy that will sustain for many years to come. Dr Anne McDonald left the RMA in March 2017 – approaching the end of her second term, she had indicated her intention to resign in order to enjoy her retirement with her family quite a long time before March 2017! However, characteristically, aware of the risks associated with the turnover, she graciously extended her period of service several times.

I am very appreciative of Dr MacDonald's commitment and generosity in this, as it extended our benefit of her extensive knowledge of the RMA's business and clinical expertise. Emcee Chekwas intimated his intention not to seek a further period of appointment approaching the end of his first term, as he secured an exciting opportunity involving the establishment of a secure facility in Bermuda.

Mr Chekwas provided valued contributions as a Board Member from his perspective as an expert forensic psychologist. Mr Chekwas also extended his time with us, serving a further 3 months after the expiry of his term, in order to buffer the impact on the Board. Elizabeth Carmichael left the RMA approaching the end of her first term, having benefitted us from her extensive knowledge in the policy arena, to pursue further development initiatives.

I express sincere appreciation for each of them.

However, their departures depleted the Board for a number of months requiring considerable 'over and above' commitment from the remaining members – Professor Hazel Kemshall, Chris Hawkes, Stephen Swan and Dr Katharine Russell – all of whom rose to the challenge magnificently. All provided the necessary governance and oversight at a critical time; Professor Kemshall as vice convener adopted the role and responsibilities of convener and led the RMA's involvement in the recruitment of new members; Mr Hawkes and Mr Swan chaired and contributed to various committees and increased their attention to all corporate matters; Dr Russell contributed to various committees and shouldered the contribution of clinical input fastidiously. I am very grateful to each of them for their commitment and contribution.

This chapter ended well in March 2017 with the appointment of a new convener, David Crawford, and three new members, Terry Powell, Aileen Burnett and Jane Davey.

I am pleased to present this annual report which demonstrates meaningful achievements and progress in 2016-17, and identifies challenges which we will address in the coming year.



Yvonne Gailey

Chief Executive
21st August 2017

What we do

The Risk Management Authority's purpose is to make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes. By so doing, our work helps to protect the public, and promote rehabilitation and reintegration of those who offend.

A significant contribution that we have made has been in the development of a shared, evidence based approach to risk practice. We call this approach FRAME - a framework for risk assessment, management and evaluation. We consider it a major achievement that all the relevant justice agencies in Scotland have committed to this approach, and we work with those agencies continuously to find new ways to advance consistency and effectiveness.

The RMA's purpose is to make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes.

FRAME is a contribution to practice generally; but, we also have a particular responsibility in relation to the risk assessment and management of serious violent and sexual offenders. We approach this responsibility in many ways, but notably by giving continuous support to those involved in the Multi Agency Public Protection Arrangements (MAPPA). We work closely with Scottish Government, Police Scotland, Local Authority Criminal Justice Services, Scottish Prison Service and the National Health Service to ensure that policies and practices reflect the standards that we set.

Furthermore, we have specific responsibilities in relation to the Order for Lifelong Restriction (OLR). The OLR was introduced to provide lifelong risk management of those who pose the greatest risk of seriously endangering the lives or well-being of the public at large through violent or sexual offending². The OLR is a sentence imposed by the High Court that constitutes imprisonment or detention for an indeterminate period, and lifelong management in the community on release.

Such a life restricting sentence designed to prevent life endangering harm needs mechanisms to ensure that is applied when justified, and only then. But a sentence in itself does not manage nor reduce risk; further mechanisms need to be in place to ensure that efforts are made throughout the sentence to reduce risk, both to protect the public and provide the individuals subject to the OLR with the opportunity of release. The RMA undertakes a number of functions that uphold this balancing of rights.

We accredit professionals who have exceptional expertise in the field of risk assessment to advise the High Court in cases where it is considering the appropriateness of an OLR. Those assessors only attain accreditation after satisfying an exacting selection process.

Once the OLR has been made, a risk management plan is required to be prepared and updated throughout the subject's life, to serve the dual purpose of protecting the public at large and affording the individual opportunities to achieve and demonstrate reduction in the risk he or she poses.

The RMA has a duty to approve plans that meet the requirements set out in the legislation, to reject and advise on plans that are not sufficient, and each year be assured that the plans are being implemented as intended.

To meet these responsibilities we have to set standards for practice which must be regarded by all involved, support others in meeting those standards, and operate a set of robust processes by which we administer our accreditation and approval functions.

In so doing, our work attracts international interest and brings valued attention to the Scottish policy in relation to serious violent and sexual offenders.

Scottish Government

Purpose	To focus government and public services on creating a more successful country, with opportunities for all of Scotland to flourish, through increasing sustainable economic growth		
National Outcomes	We live our lives safe from crime, disorder and danger	Our public services are high quality, continually improving, efficient and responsive to local people's need	
Justice Outcomes	We have high levels of public confidence in justice institutions and processes	Our public services are fair and accessible	Our institutions and processes are effective and efficient
Priorities	Reducing reoffending		

RMA

Purpose	Make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes		
Strategic Aims	The RMA will advance evidence-based, effective and ethical risk practice	The RMA will support partner agencies to deliver evidence-based, effective and ethical risk practice	The RMA will work with partner agencies to evaluate the quality and impact of risk practice
Outcomes	<p>Risk management is supported by an appropriate level of risk assessment</p> <p>Risk assessments are conducted in an evidence based, structured manner</p> <p>Risk management plans are implemented and reviewed routinely, and in response to change</p> <p>Changes in the level of restrictions or interventions are justified and supported by a suitable assessment of risk</p> <p>Risk management measures are tailored to the needs of the individual</p> <p>Agencies work together in the assessment and management of risk</p> <p>Methods of evaluation are employed to assure the quality and impact of assessment and management practice</p>		

Business Plan

We seek to offer practical contributions to justice partners in their delivery of risk assessment and risk management practice

Our Corporate Plan 2016 contains a set of strategic aims that have been developed in alignment with our statutory functions.

These strategies recognise the importance of the RMA's role and the contributions we make to National Outcomes and the Justice Strategy for Scotland. Through our actions we seek to offer practical contributions to justice partners in their delivery of risk assessment and risk management practice, to achieve the shared goal of making Scotland safer and reducing reoffending.

The RMA Business Plan 2016-17 set out our objectives for the year that contribute to the achievement of our Corporate Plan. The Business Plan objectives are grouped according to our three strategic aims:

Strategic Aim 1: Develop

The RMA will advance evidence-based, effective and ethical risk practice

We do this through our work to set standards, produce guidelines, review research, and develop the framework for practice.

Strategic Aim 2: Implement

The RMA will support partner agencies to deliver risk practice

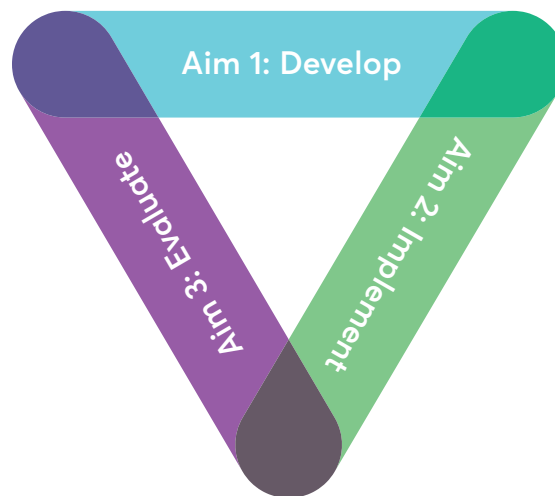
We do this through learning and training opportunities, the provision of advice and guidance and our support to the implementation of initiatives.

Strategic Aim 3: Evaluate

The RMA will work with partner agencies to evaluate the quality and impact of risk practice

We do this by reviewing effectiveness and undertaking quality assurance processes to record outcomes and identify opportunities for continuous improvement.

The three strategic aims interlink, and demonstrate how the RMA seeks to Develop, Implement and Evaluate risk practice in Scotland:



Notable activity against Business Plan objectives 2016-17

Aim 1: Develop

The RMA published revised Standards and Guidelines for Risk Management. The new version included a review of the latest research, updates to definitions and most significantly, the introduction of a new streamlined process for annual reporting on the implementation of risk management plans. To support these changes, RMA staff consulted with stakeholders on proposed changes. The RMA website was also updated with resources and templates to support the implementation.

The benefits of these changes include a simplified process that makes it easier for stakeholders to record and report progress.

Aim 1: Develop

The RMA drafted revised Standards and Guidelines for Risk Assessment, with the aim to publish in 2017-18. The new version seeks to build upon current research on risk assessment to provide an up to date guide for practitioners. The RMA will undertake a consultation exercise with key stakeholders to gather their input as part of this process.

Aim 1: Develop**Aim 2: Implement****Aim 3: Evaluate**

The RMA has a legislative function to accredit suitably skilled assessors to undertake Risk Assessment Reports for the High Court. During 2016-17 the RMA conducted a comprehensive review of the Accreditation scheme. This review sought to consider all aspects of the accreditation process; from the appointment of assessors, the criteria and competencies that assessors must fulfil, and quality assurance of reports. The review also developed a project plan to guide the RMA in its future and ongoing delivery of the accreditation scheme.

Aim 1: Develop**Aim 2: Implement****Aim 3: Evaluate**

During 2016-17 the RMA continued to update the Risk Assessment Tools Evaluation Directory (RATED). This resource provides a wealth of information for practitioners, with relevant research on strengths, limitations and validation evidence, that supports balanced, individualised approaches to risk assessment.

Aim 1: Develop**Aim 2: Implement****Aim 3: Evaluate**

The RMA implemented a revised evaluation process for Annual Implementation Reporting on OLR cases. This new process has resulted in significant improvements, facilitating the RMA's completion of evaluations within 6 weeks of receipt.

Aim 1: Develop**Aim 2: Implement****Aim 3: Evaluate**

The RMA delivered 14 Risk Practice courses to 152 CJSW² practitioners; 125 Police offender management officers; and 27 MAPPA Chairs. This advanced training provided delegates with a grounding in the principles and process that should be evident when assessing and managing risk of serious harm. Full details of this training is provided on page 14.

Aim 1: Develop**Aim 2: Implement****Aim 3: Evaluate**

The RMA progressed a wide range of objectives related to the ongoing delivery of LS/CMI³. The LS/CMI is a comprehensive offending risk/need assessment and planning method used in prisons and local authorities throughout Scotland. Key items taken forward included:

Support & Engagement:

Support, advice and guidance provided to practitioners, with responses to over 400 queries;

20 support / input sessions delivered to local authority areas and prison establishments on reporting, system management etc;

Training:

The delivery of 2 LS/CMI IT courses to 35 staff;

Evaluation & Research:

Agreement reached on data sharing agreements between the RMA and local authority areas, to facilitate the collation of an updated national dataset;

A Community Requirements Gathering Exercise, involving 23 local authorities and 30 LS/CMI mentors;

The development of the community evaluation report, which focuses on areas such as the identification of strengths, RoSH profiles and the relationship between risk and supervision intensity levels. This report will be due for publication in the coming year and made available on the RMA website.

Aim 1: Develop**Aim 2: Implement****Aim 3: Evaluate**

In 2016-17 the RMA established communications with the UK Home Office and SPS legal department to consider deportations and cross border transfers. An outcome of this process will be the development of protocols for OLR offenders subject to such transfers.

Risk Practice Training

The Fundamentals of Risk Practice is a training course that was developed by the RMA to support risk assessment and management practice with individuals who present a risk of serious harm.

Working in conjunction with Social Work Scotland, Police Scotland and the Scottish Government, the RMA have developed a programme of training courses

The training was designed to provide a grounding in the principles and process that should be evident when assessing and managing risk of serious harm. For practitioners, the training aims to equip them with skills and confidence in applying these principles in practice.

Working in conjunction with Social Work Scotland, Police Scotland and the Scottish Government, the RMA have developed a programme of training courses for Criminal Justice Social Work, MAPPA Chairs and Police offender management staff.

The course content is consistent with the Standards and Guidelines for Risk Assessment and Management published by the RMA and is a key part of implementation of the FRAME policy developed by the RMA and criminal justice agencies in Scotland. The training also sought to develop participant's understanding of the risk assessment and management templates published within the MAPPA guidance. This consistent approach has been a key objective of the FRAME policy.

The training provision includes the following:

- A 3 day course for criminal justice social workers
- A two day course for offender management police officers
- An awareness day for MAPPA chairs



7 Risk Practice courses delivered

6 Police Risk Practice courses delivered

1 MAPPA chairs course delivered

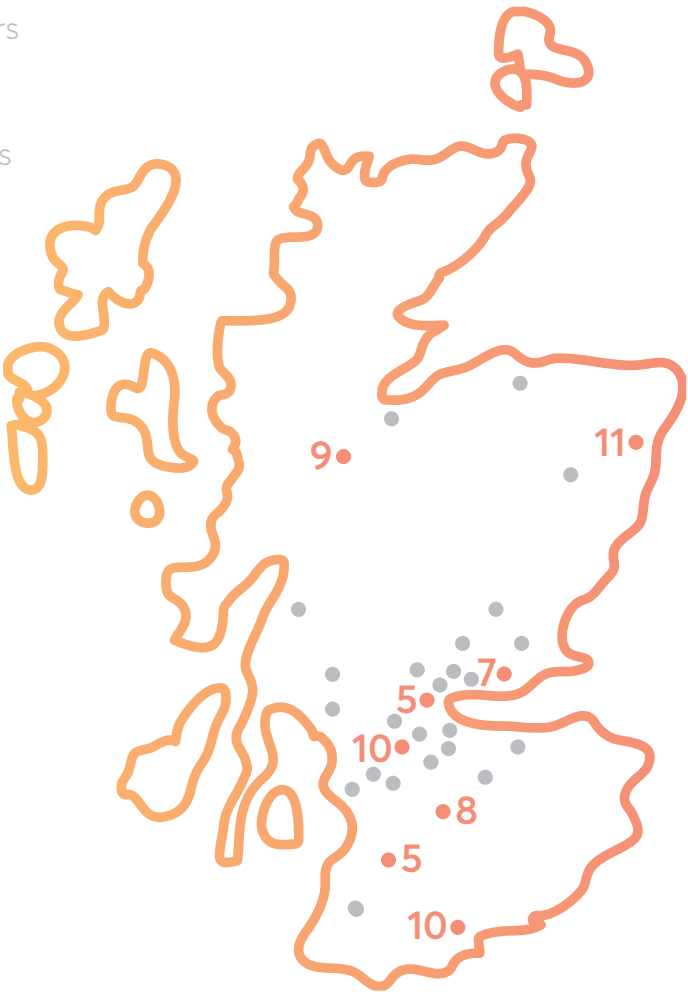


152 Social Workers trained

125 Police Officers trained

27 MAPPA chairs trained

- | | | | |
|----|---------------------|-----|---------------------|
| 11 | Aberdeen City | 12 | North Lanarkshire |
| 1 | Aberdeenshire | 5 | Perth & Kinross |
| 5 | Angus | 5 | Renfrewshire |
| 4 | Argyll & Bute | 1 | Shetland |
| 3 | Clacks | 2 | South Ayrshire |
| 10 | Dumfries & Galloway | 8 | South Lanarkshire |
| 2 | Dundee | 5 | Stirling |
| 5 | East Ayrshire | 4 | West Dunbartonshire |
| 3 | East Dunbartonshire | 2 | West Lothian |
| 1 | East Lothian | 2 | MAPPA Co-ord |
| 3 | East Renfrewshire | 3 | HMP Barlinnie |
| 1 | Edinburgh | 1 | HMP Castle Huntly |
| 5 | Falkirk | 2 | HMP Glenochil |
| 7 | Fife | 3 | HMP Inverness |
| 10 | Glasgow | 1 | HMP Low Moss |
| 9 | Highland | 1 | HMP Perth |
| 2 | Inverclyde | 2 | HMP Polmont |
| 1 | Midlothian | 1 | HMP Shotts |
| 5 | Moray | 125 | Police |
| 4 | North Ayrshire | 27 | MAPPA |



*Phase 1 of the learning
evaluation concluded
in 2016-17*

Risk Practice Course - Learning Evaluation

A multi-level evaluation of the training provided was undertaken by the RMA in 2016-17 to inform future development and the effectiveness of the approach in practice. The aims of the learning evaluation were to:

- evaluate the selection of appropriate participants and the extent to which the training met participant expectations
- assess the extent to which the training enhances participant's confidence regarding their ability to assess and manage of risk of serious harm
- assess the extent to which the training resulted in learning gain for participants
- identify participants views regarding the relevance of training content and the effectiveness of training methods and delivery
- examine the extent to which the training results in the production of risk assessments and risk management plans that meet the agreed standards of practice

The first phase of the evaluation was conducted in 2016-2017, with the final report due to be published in 2017-18.

KPIs

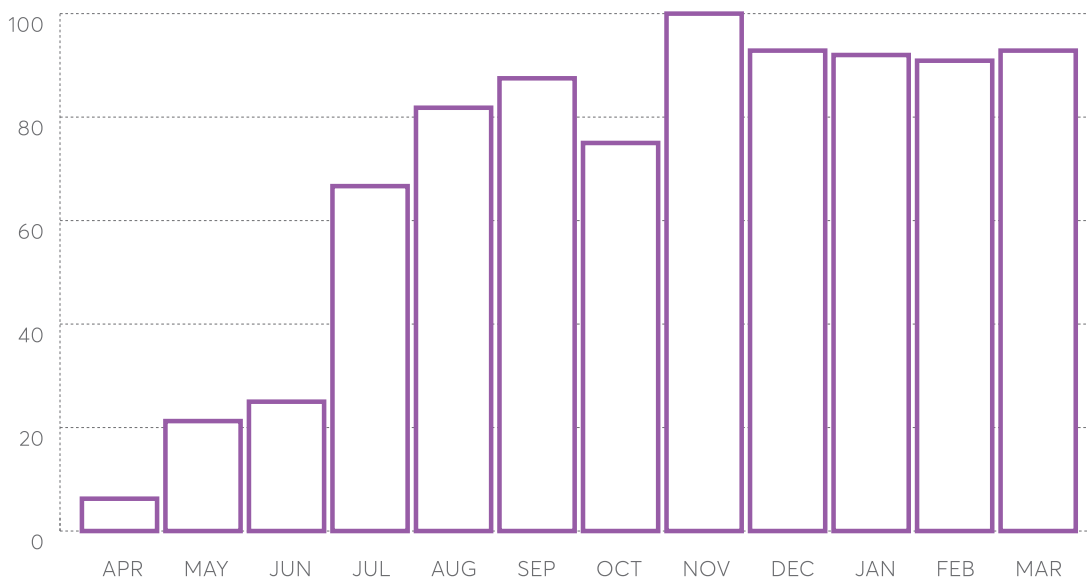
The RMA recognises the importance of continually seeking ways to improve how we deliver our functions. To this end the RMA identified 4 key performance indicators (KPIs) to help us measure and evaluate how successful we are at managing our resources and delivering services of a high standard.

Key Performance Indicators 2016-17		Target	Result
1	To maintain a minimum number of two Accredited Assessors for court selection, the RMA will ensure an appropriate number of assessors are accredited to meet high court requirements	15-20	15
2	Risk Management Plans approved in accordance with statutory timeframes (see descriptor 2)	100%	100%
3	Annual Implementation Report feedback letters to Lead Authorities (see descriptor 3)	6 weeks	66%
4	Training & Events: stakeholder satisfaction survey rating (see descriptor 4)	85%	96%

Descriptors

- Lead Authorities are required to submit a Risk Management Plan to the RMA for each OLR offender, within 9 months of sentencing. During 2016-17, the RMA supported Lead Authorities to achieve the approval of 100% of initial plans within the 9 month timescale.
- Lead Authorities are required to report annually on the implementation of Risk Management Plans for OLR offenders. Significant efforts were made throughout 2016-17 to improve RMA performance in reviewing and responding to Lead Authorities.

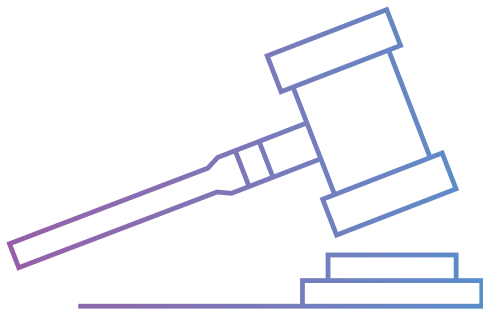
The table overleaf demonstrates the progress made in this area over the year (The figures for the first quarter reflect clearance of a backlog).

AIR Compliance 2016-17

4. The RMA delivered Risk Practice training to 152 Criminal Justice Social Workers in 2016-17. 96% agreed they would recommend this training to others.

User Satisfaction Survey - In January 2017 the RMA issued a User Satisfaction Survey to practitioners who had contacted the RMA helpdesk for LS/CMI support/advice/guidance. This survey was sent out to over 140 users in various roles (mostly social work staff). Of those that responded, over 95% stated they were satisfied/very satisfied with the speed of the response and advice given to their query by the RMA's Quality Assurance staff.

The OLR

**11**

Orders for
Lifelong
Restriction
issued

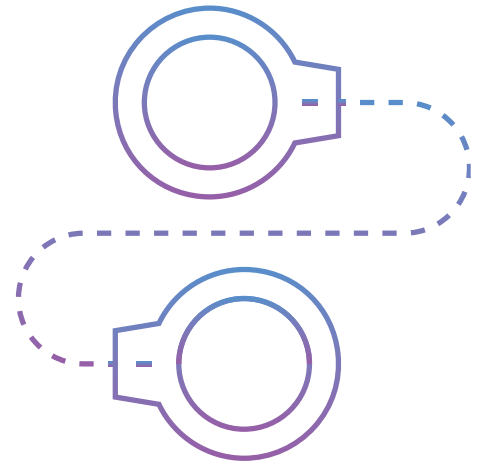
**23**

RMP's
approved

**17**

Risk
Assessment
Orders
instructed

61%
of OLR population
with expired
punishment part

**4**

Assessors
accredited

173

Annual
Implementation
Reports reviewed



Accreditation and Risk Management Plan approval processes

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'⁴, 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 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:

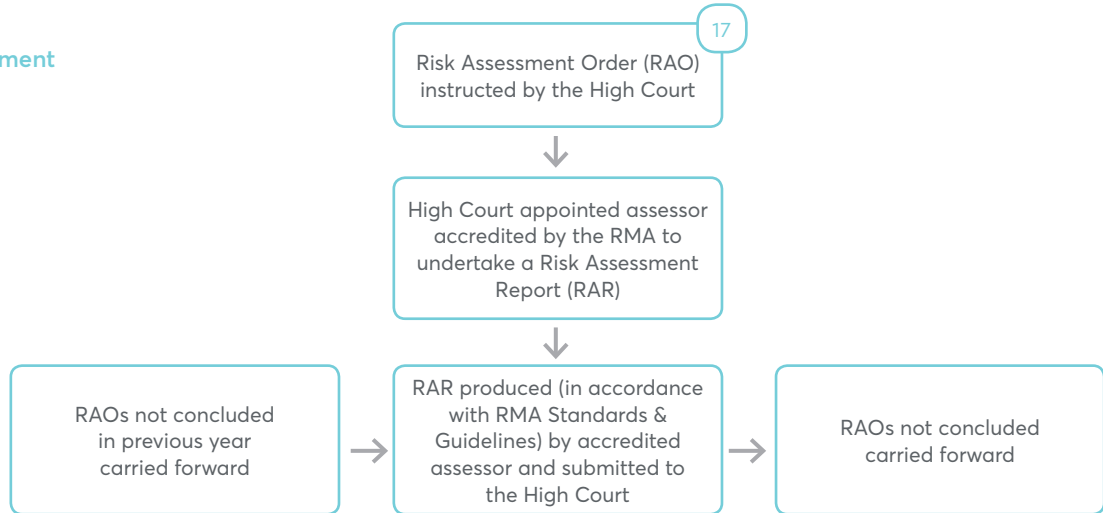
- To decide whether an applicant has met the required competencies and standards to become an RMA risk assessor and to award accredited status if they have;
- To provide appropriate direction to RMA staff on the handling of an application for accreditation at all stages prior to a final decision on whether or not to accredit a person;
- To decide whether a manner⁵ 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 process map overleaf 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 2016-17.

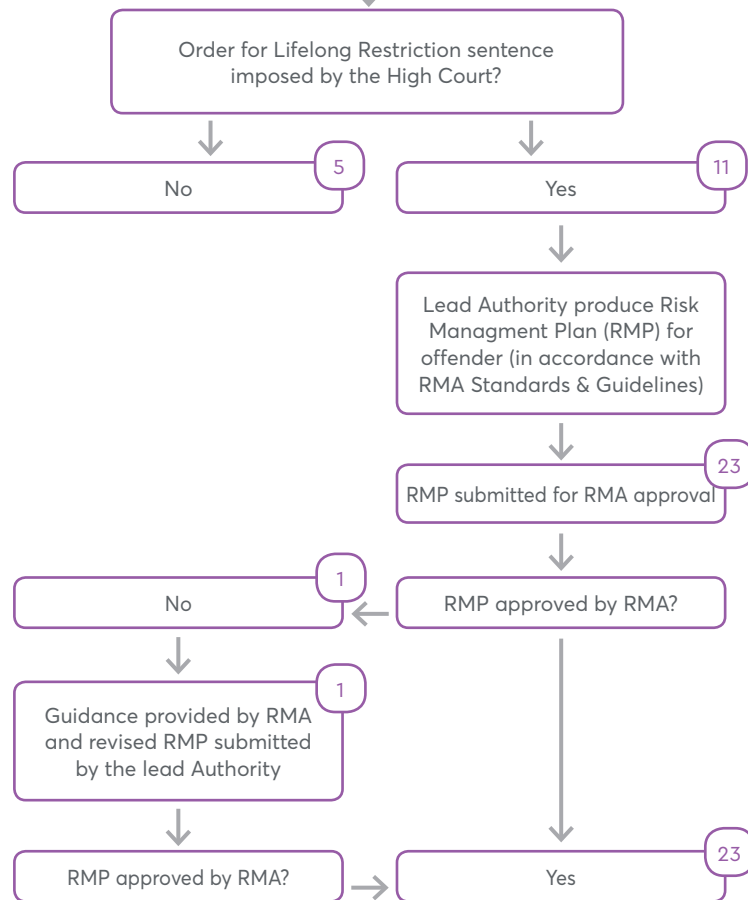
⁴ Section 210e of the Criminal Justice (Scotland) Act 2003 part 1.

⁵ 'Manners' is a legal term for the methodologies that are followed in the processes of risk assessment and management. Accreditation of such manners supports our goal of promoting best practice in these areas.

Risk Assessment Report



Risk Management Plan



Annual Implementation Report



4 applications for accreditation as a risk assessor approved

Accreditation

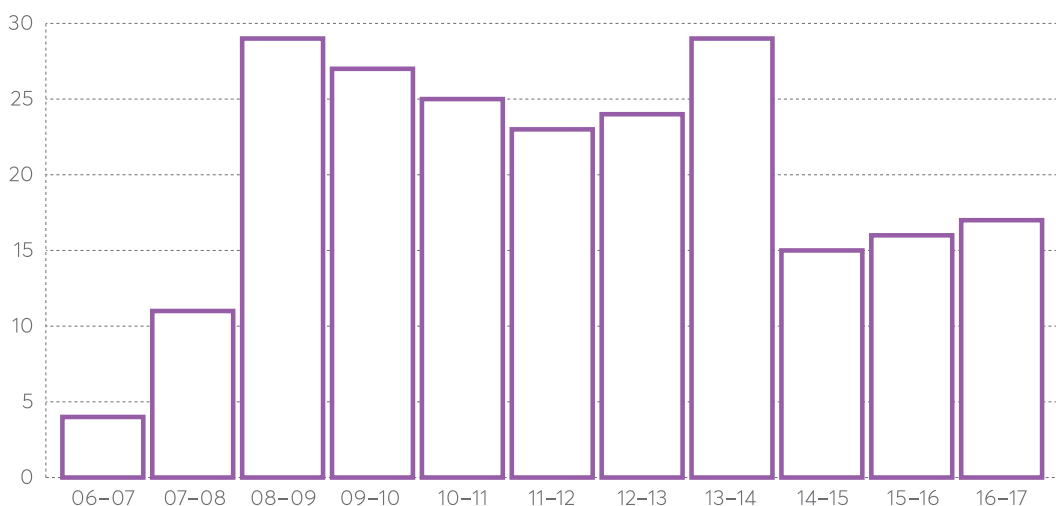
Accreditation as a risk assessor is based on a competency framework in order to apply consistent standards of assessment across different professions. The competency framework underpins the application process, which balances the required rigour with recognition that candidates for accreditation are experienced practitioners with a wide range of relevant skills. It should be noted that assessors are accredited by the RMA and commissioned directly by the High Court.

The RMA Accreditation Committee processed four applications for accreditation during 2016-17, with all four applications approved. The cohort of assessors available to undertake Risk Assessment Reports on behalf of the High Court is fifteen.

Risk Assessment Orders

Once a RAO has been instructed, the Accredited Assessor has 90 days to complete the Risk Assessment Report (although this can be extended). As such, RAOs instructed near the financial year end are carried forward, to be concluded in the subsequent financial year.

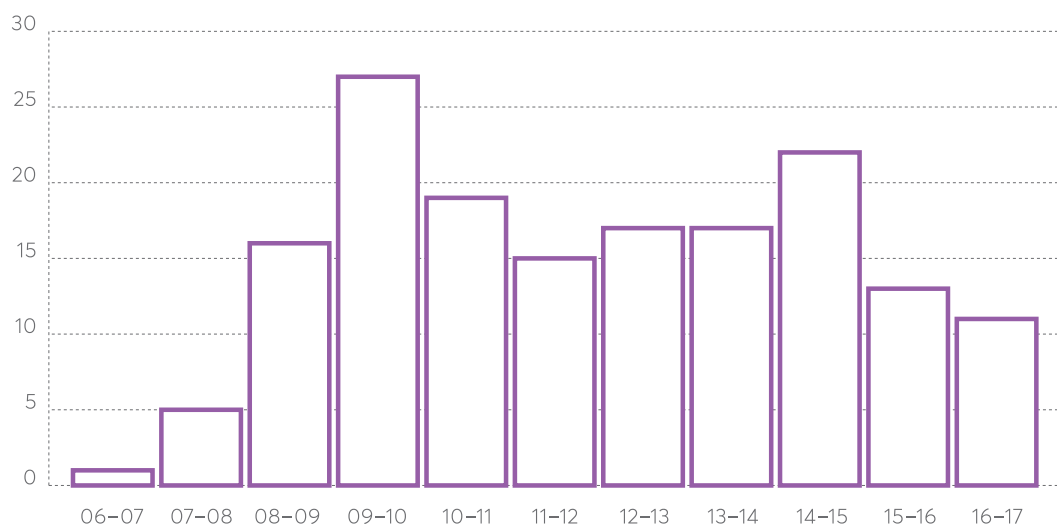
Number of Risk Assessment Orders issued by the court in each year



When the Order for Lifelong Restriction (OLR) legislation was introduced, it was estimated that by largely replacing the discretionary life sentence, approximately 15 OLRs would be imposed each year. The 11 OLRs recorded for 2016-17 is therefore below that initial estimate.

Since the inception of the legislation to 31 March 2017, the 220 Risk Assessment Orders made by the High Court have resulted in a total of 164 offenders being sentenced to an OLR. There are currently 153 active cases.

Number of OLR's imposed



In terms of offences that led to an OLR sentence being made, 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

11 Orders for Lifelong Restriction imposed by the High Court

An element of the OLR sentence is that detention can continue beyond an offender's expired punishment part. The Parole Board (sitting as a tribunal) is responsible for determining whether or not an OLR offender requires to continue to be confined for the protection of the public. The tribunal directs an individual's release, on licence, from custody only when it is satisfied that the risk is acceptable. On release an individual would continue to be subject to a Risk Management Plan and Annual Implementation Report. Should an individual breach conditions of their release or give cause for concern whilst on licence, they would be liable to be recalled to custody.

The punishment part has expired for 93 (61%) members of the total OLR population.

Risk Management Plans

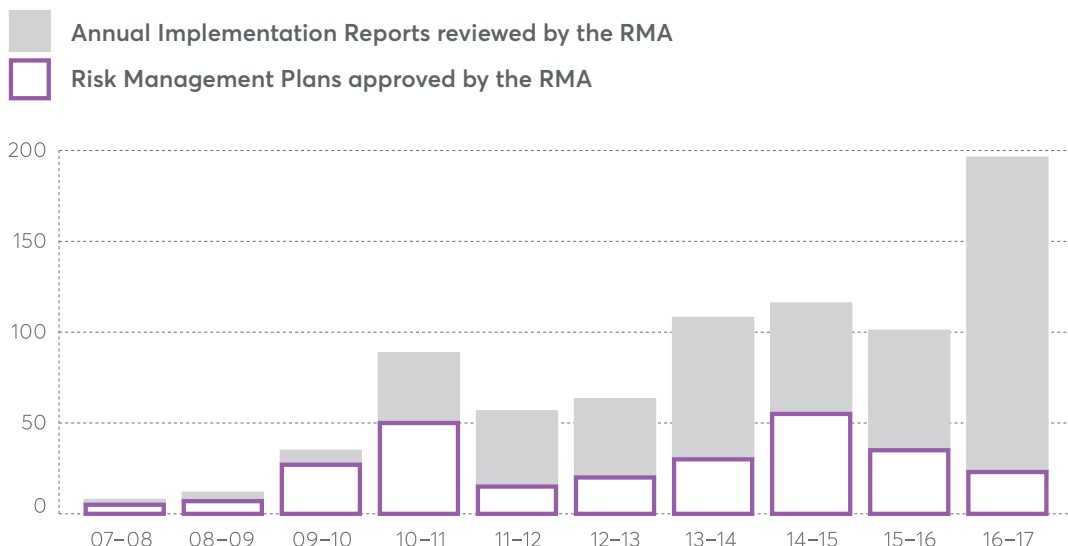
The Criminal Justice (Scotland) Act 2003 requires RMA approval of a Risk Management Plan for each offender sentenced to an Order for Lifelong Restriction, within nine months of the date of sentence.

Thereafter plans 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. As such, 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 - this lead authority can change depending on the offender's circumstances (e.g. whether in prison, hospital, or released on licence in the community). The Risk Management Plan provides an assessment of the offender's risk, describing the measures taken to minimise that risk and how those measures are co-ordinated.

In this reporting year, 23 Risk Management Plans (RMP) were approved and a total of 173 Annual Implementation Reports (AIR) were reviewed by the RMA. The 23 plans consisted of 10 initial RMPs, 12 amended RMPs and 1 revised amended RMP submitted for approval. Amended RMPs are plans developed following a significant change in the circumstances of the offender.

23 Risk
Management
Plans approved⁶

173 Annual
Implementation
Reports reviewed



⁶ 1 plan approved after guidance from the RMA, resulting in a revised plan being submitted for further consideration

Financial Summary

The Risk Management Authority is financed through Grant-in-Aid from the Scottish Government Criminal Justice Directorate.

The annual accounts report the results of the Risk Management Authority for the year 1 April 2016 to 31 March 2017. 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 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.

For this year the Risk Management Authority's total expenditure amounted to £1,072,000. Funding was provided by Scottish Government in the form of grant-in-aid (£985,000) with additional grant funding (£75,000).

	Funding £'000	Drawdown £'000
Resource DEL	985	985
Risk Practice Course	86	75

All expenditure incurred during 2016-17 was within agreed budgetary provision.

The Financial Statements and Notes for this reporting period are appended to the end of the report.

Risks & Uncertainties

The Risk Management Authority is committed to the development and maintenance of an effective culture of risk management whereby appropriate procedures are embedded within the organisation which focus on the achievement of organisational aims and objectives.

The risk register is regularly reviewed and as at year end the risk register contained 12 risks. These risks were categorised as 3 high risks, 4 medium risks and 5 low risks. The three notable high risks contained on the register were:

1. Resources are inadequate to deal with workload

The Risk Management Authority has informed Scottish Government that current funding arrangements will reach a critical position by the end of December 2018. Engagement with Scottish Government has resulted in a commitment to conclude a review of baseline funding by December 2017. A revised baseline grant is expected to be implemented in 2017-18.

2. Research and training functions not deliverable

The Risk Management Authority identified a lack of appropriate resources will severely impact the organisation's ability to fulfil key legislative functions in relation to research and training. The revision to baseline funding aims to mitigate this risk.

3. Legal challenge

The Risk Management Authority is currently being pursued in the Sherriff Court on the basis that its Standards and Guidelines are discriminatory and breach human rights. The Authority is defending this challenge and has assessed that no financial provision is required to reflect any impact from the decision.

Changes in Non-Current Assets

The Risk Management Authority acquired £6,000 in non-current assets during the year. The acquisition related to the upgrade of IT equipment.

Public Interest Reports

Environmental Issues

The Risk Management Authority operates environmental policies and procedures, which include recycling and choosing sustainable products. The Risk Management Authority also provides a cycle to work scheme for all staff and promote car sharing for attendance at events and meetings. The RMA aims to communicate through electronic media, making better use of technology to deliver information in a cost effective and environmentally friendly manner.

Social, Community and Human Rights Issues

The Risk Management Authority has a policy to support staff volunteering and voluntary activities and also has an Equal Opportunities Policy and Procedure. The Risk Management Authority has also developed a set of equality outcomes and published an equality mainstreaming report in April 2013. A review of the Risk Management Authority's achievements against the equality outcomes was conducted in 2015-16 and an equality duty progress report published on the website.

Public Services Reform Act Report

The Public Services Reform (Scotland) Act 2010 (the Act) came into force on 1 October 2010. Sections 31 to 32 of Part 3, places duties on public bodies to provide and publish information on certain expenditure and exercise of functions. The chart below represents the Risk Management Authority's publication of the required information.

Public Services Reform Act Report	Cost
External Consultancy	£13,089
Public Relations	£10,055
Payments Exceeding £25,000:	£ 83,815
i) Abbeymill Business Centre – Office Rent: £46,020	
ii) Scottish Government – IT: £37,795	

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.

During this financial period the Risk Management Authority paid a total of 83% of invoices received within the terms of the payment policy, compared with 91% in the previous year. The Risk Management Authority will continue to investigate service improvements in order to achieve this target in future.

As at year end the value of supplier payments outstanding was £142,312. Supplier payments outstanding at 31 March 2016 was nil. All short term liabilities were classified as trade payables.

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

Freedom of Information

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

In 2016-17 the RMA received 15 requests under FOISA. Under the legislative guidelines for FOISA, public authorities have 20 working days to provide their response. Responses were provided to all 15 requests within the legislative guidelines of 20 working days.

*The RMA responded
to all Freedom of
Information requests
within 20 working days*

External Engagement

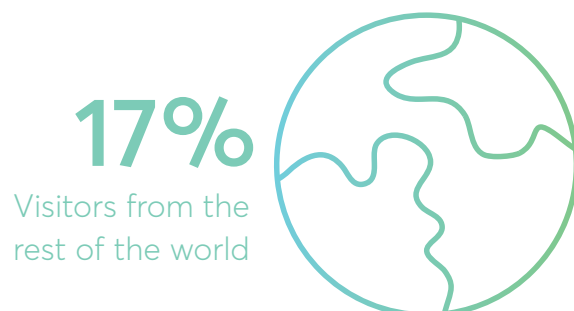


- The RMA delivered a series of training sessions to the Judicial Institute to provide inputs on risk assessments, the OLR and extended sentences.
- Presentations delivered to the Rohallion Clinic (Secure Care Service): Learning Practice and Development Risk Forum for Psychiatric Nurses
- Consultation held with Sponsor Department to develop a sustainability and efficiency plan for Risk Practice training
- Visit hosted for the Swedish National Board of Forensic Medicine Study to inform a report for an ongoing Swedish Parliamentary debate regarding assessment and management practices
- Presentations on the OLR delivered to the State Hospital
- Engagement meetings held with the UK Home Office and Scottish Prison Service to inform decision making on deportations and cross border transfers
- Series of visits to the Scottish Prison Service National Top End and Open Estate establishments to strengthen relationships and partnership working arrangements.
- National Working Group contributions:
 - LS/CMI Working Group
 - MAPPA National Strategic Group
 - Tripartite Group
 - NDBP Chief Executive's forum
- Input to the Women's Risk / Needs Assessment at HMP Cornton Vale
- Presentations on OLR Throughcare Processes delivered to the Social Work Standing Committee and Social Work departments.
- OLR Case Managers meetings held and consultation meetings held at HMP Low Moss, Greenock, Addiewell and Shotts to introduce updated Standards & Guidelines and new process for annual implementation reporting.

Website Statistics

The RMA website is a key means of communication with stakeholders and practitioners. The totals below illustrate the level of engagement achieved via the corporate website.

Key facts for 2016-17:



Future Strategic Developments

The RMA Business Plan 2017-18 sets out our objectives for the forthcoming year that will contribute to the achievement of our Corporate Plan.

Through Strategic Aim 1 we advance evidence-based, effective and ethical risk practice by our work to set standards, produce guidelines, review research, and develop the framework for practice.

Delivery of Strategic Aim 2 concerns our work with partner agencies to deliver learning and training opportunities, the provision of advice and guidance and supporting the implementation of initiatives.

With Strategic Aim 3 we evaluate the quality and impact of risk practice, reviewing effectiveness and undertaking quality assurance processes to record outcomes and identify opportunities for continuous improvement.

Key Business Plan objectives for 2017-18

- Publish Standards and Guidelines for Risk Assessment
- Commence a research plan to develop risk assessment guidelines for internet offending
- Publish papers and advice to ministers on application of OLR and recommendations for potential reform
- Increase the cohort of Accredited Assessors
- Develop systems to enhance the management of OLR information
- Deliver 6 Risk Practice courses to 150 Criminal Justice Social Workers
- Deliver 3 Risk Practice courses to 75 Police staff
- Deliver Risk Practice inputs to Prison Governors, Deputy Governors and MAPPA coordinators
- Develop a quality assurance method of Risk of Serious Harm Assessments and RMPs undertaken in LS/CMI practice process
- Publish a learning evaluation of Risk Practice training

The RMA Business Plan for 2017-18 is available to download from our website.

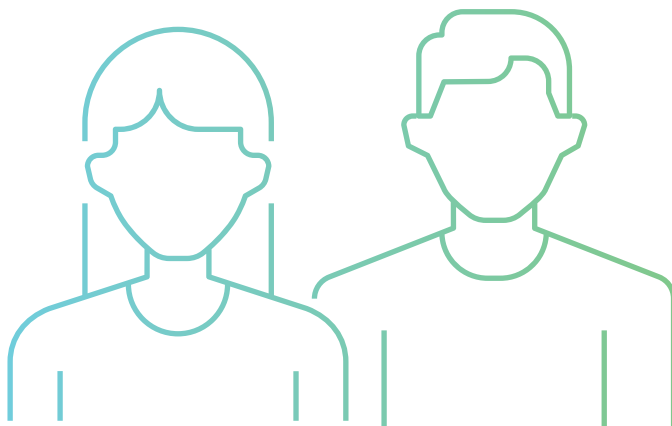


Yvonne Gailey

Chief Executive and Accountable Officer

21st August 2017

Accountability Report



62%

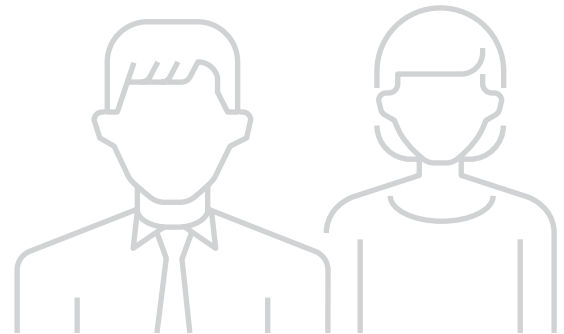
10 female staff

38%

6 male staff

Staff gender

16 full-time staff, 69% with 5+ years service



50%

1 male director

50%

1 female director

Executive management



3.2%

Absence rate,
47% of staff had
no absences



50%

Female

50%

Male

Board gender

Director's Report

Board Members

The role of the Board is to provide leadership, direction, support and guidance to ensure the Risk Management Authority delivers and is committed to delivering its functions effectively and efficiently and in accordance with the aims, policies and priorities of the Scottish Ministers. It has corporate responsibility, under the leadership of the convener, for the following:

- taking forward the strategic aims and objectives for the body agreed by the Scottish Ministers;
- determining the steps needed to deal with changes which are likely to impact on the strategic aims and objectives or on the attainability of its operational targets;
- promoting the efficient, economic and effective use of staff and other resources;
- ensuring that effective arrangements are in place to provide assurance on risk management, governance and internal control;
- taking into account relevant guidance issued by the Scottish Ministers;
- ensuring the board receives and reviews regular financial information concerning the management and performance and is informed in a timely manner about any concerns regarding activities;
- appointing, with the approval of the Scottish Ministers, the Chief Executive and, in consultation with the Scottish Government, set appropriate performance objectives and remuneration terms linked to these objectives which give due weight to the proper management and use of resources and the delivery of outcomes;
- demonstrating high standards of corporate governance at all times, including openness and transparency in its decision making;
- functions as laid out in The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006; and
- functions as laid out in the Criminal Justice (Scotland) Act 2003.

During the reporting period the Board of the Risk Management Authority comprised of the following members:

Mr Peter Johnston (Convener)

Mr Stephen Swan

Professor Hazel Kemshall

Mr Chris Hawkes

Dr Anne MacDonald

Ms Elizabeth Carmichael

Mr Emcee Chekwas

Dr Katharine Russell

To support informed decision and policy making the Board established the following committees:

- i) Accreditation Committee – The primary purpose of this Committee is to take decisions on the accreditation of assessors and manners of assessment. The Accreditation Committee was chaired by Dr Anne MacDonald and convened on 5 occasions over the course of the year. During this period the Committee accredited four assessors for the purposes of preparing risk assessment reports for individuals being considered for an Order for Lifelong Restriction;
 - ii) Appeals Committee – The purpose of this Committee is to consider and decide any appeals lodged against a decision by the Accreditation Committee. The Appeals Committee is chaired by the Convener and was not required to convene during the reporting period;
 - iii) Risk Management Plan Approval Committee – The purpose of this Committee is to take decisions and approve Risk Management Plans submitted by lead authorities. The Committee was chaired by Mr Chris Hawkes and convened on 12 occasions. During this period the Committee considered 23 risk management plans for approval;
 - iv) Research & Training Committee – The purpose of this Committee is to provide strategic direction for the RMA's research and training programme. The Committee was chaired by Mr Emcee Chekwas and convened on three occasions during the reporting period;
 - v) Audit Committee – The purpose of this Committee is to support the Accountable Officer responsible for issues of risk, control and governance and associated assurance through a process of constructive challenge. The Committee was chaired by Mr Stephen Swan and convened on four occasions during the year; and
 - vi) Remuneration Committee – The purpose of this Committee is 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. The Committee is chaired by the Convener and convened on one occasion to consider the pay award for 2017-18.
-

Directors

The Risk Management Authority has an executive management team to support the Board, this team includes

i) Chief Executive

The Chief Executive, Ms Yvonne Gailey was appointed on 27 May 2009 and is the Accountable Officer of the RMA. Responsibilities as Accountable Officer, include 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 Framework Document with the Scottish Government and the Statement of Accountable Officer's Responsibilities within the accounts.

ii) Director of Business Performance

The Director of Business Performance, Mr Paul Keoghan was appointed on 26 January 2009. In supporting governance arrangements the Director of Business Performance oversees all corporate service functions including human resources, finance, policy development, communications and information technology.

Register of Interests

All devolved public bodies have a duty to set up, maintain and make available for public inspection a register of Board member interests. The Risk Management Authority's Register of Members' interests is available for inspection on its corporate website at: <http://www.rmascotland.gov.uk/about-the-rma/governance-and-corporate-info/rma-board-and-committees/>

Personal Data Incidents

Under the requirement to report on personal data related incidents which have been formally reported to the information commissioner's office, the Risk Management Authority reports that there were no personal data incidents reported in the financial period.

Pensions

All staff of the Risk Management Authority are eligible to become members of the civil service pension arrangements. Further details about the Civil Service Pension arrangements can be found at the website www.civilservice.gov.uk/pensions

Statement of 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.

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.

In my opinion, the annual reports and accounts are fair, balanced and understandable and I accept responsibility for the annual report and accounts and the judgements required for determining that it is fair, balanced and understandable.

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 Sponsorship Framework.

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 Sponsorship Framework 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 Corporate Risk Management Strategy.

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 the reporting period the Board convened on nine occasions, and on each occasion the meetings were quorate and a set of minutes produced to record all agreed actions and decisions. At each meeting Members are requested to submit any declarations of interest, 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 corporate website.

The Risk Management Authority provides an internal induction programme for all new Board Members in addition to access to On Board Training.

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 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 details the process of risk categorisation and the approval and review structure for the Risk Register by the Audit Committee and Board.

Risk Management is embedded into corporate processes with the risk register reviewed regularly and reported to the Audit Committee meeting. The risk register is reviewed in conjunction with the preparation of Corporate and Business Plans.

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.
 - the work of the Committees charged with responsibility for the governance and performance in the areas encompassing Risk Management Plan Approval, Research & Training and Accreditation.
-

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

- 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 provided by the Director of Business Performance and Head of Internal Audit to support my review of the system of internal control;
- committee meetings;
- annual committee performance reports;
- 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 weaknesses or identified lapses in data security during the reporting period.

Remuneration and staff report

The sections marked with a * in this *Remuneration and staff report* are subject to a separate opinion by Audit Scotland. The other sections of the *Remuneration and staff report* were reviewed by Audit Scotland to ensure they were consistent with the financial statements.

Board Member Remuneration Policy

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 was appointed for a term of 4 years which ended on 30 September 2016.

The Convener and Board Members are paid an annual salary which is set by the Scottish Ministers. Salaries are reviewed annually and pay awards are controlled 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 Stephen Swan and Mr Chris Hawkes. 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 staff and the senior executives (directors) which include the Chief Executive and Director of Business Performance.

Chief Executive Remuneration Policy

The Board, in conjunction with the Scottish Government, agree a salary range for the Chief Executive. The Chief Executive, Ms Yvonne Gailey, assumed post on the 27 May 2009 and is employed on a permanent contract with a requirement for a three month notice period. The Chief Executive post is pensionable under the civil service pension arrangements and there are no early termination payment clauses contained in the contract of employment.

Annual pay awards are dependent upon performance and the parameters of pay awards controlled by the Scottish Government's Public Sector Pay Policy for Senior Appointments. The Chief Executive Salary is reviewed annually by the Remuneration Committee with all changes to salaries or benefits requiring approval of the Scottish Ministers. The Chief Executive's performance is assessed by the Convener of the Risk Management Authority using a system of annual appraisal which will assess performance against business plan and corporate plan objectives.

In the reporting year the Chief Executive's pay award was governed by a one year pay policy covering 2016-17, the key terms of the policy included:

- i) Cost of increase in basic pay limited to 1% each year
- ii) Cost of pay scale progression, where applicable, limited to 1.5% each year
- iii) A commitment to no compulsory redundancy
- iv) Payments under performance related pay suspended

Director of Business Performance Remuneration Policy

The remuneration of the Director of Business Performance is set by the Board. The Board agree salary ranges for the Director and annual pay awards are dependent upon performance. The Director of Business Performance, Mr Paul Keoghan, assumed post on 26 January 2009 and is employed on a permanent appointment with a three month notice period. The Director post is pensionable under the civil service pension arrangements and there are no early termination payment clauses contained in the contract of employment.

The parameters for annual pay awards are controlled by the Scottish Government's Public Sector Pay Policy for Staff Pay Remits. The Director's is reviewed annually by the Remuneration Committee with all changes to salaries or benefits requiring approval of the Scottish Ministers. The Director's performance is assessed by the Chief Executive using a system of annual appraisal which will assess performance against business plan and corporate plan objectives. In the reporting year the Director's pay award was governed by a one year pay policy covering 2016-2017, the key terms of the policy included:

- i) Cost of increase in basic pay limited to 1% each year
- ii) Pay scale progression, where applicable, can be awarded
- iii) A commitment to no compulsory redundancy
- iv) Payments under performance related pay suspended

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.

Remuneration*

i) Board Member Remuneration

'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.

Board Member Remuneration	2016-17 £'000	2015-16 £'000
Professor Hazel Kemshall, Board Member	5-10	5-10
Dr Anne MacDonald, Board Member	5-10	5-10
Mr Stephen Swan, Board Member	5-10	5-10
Mr Chris Hawkes, Board Member	5-10	5-10
Dr Katharine Russell (from 1 August 2015)	5-10	1-5
Mr Emcee Chekwas, Board Member (until 30 Nov 2016)	0-5	5-10
Mr Peter Johnston, Convener (until 30 Sept 2016)	0-5	5-10
Ms Elizabeth Carmichael, Board Member (until 31 July 2016)	0-5	5-10
Dr Joanne Wood, Board Member (until 31 July 2015)	-	1-5

ii) Performance Related Pay

Performance pay or bonuses are disclosed separately from salaries and relate to the year in which they become payable.

Performance Related Pay	2016-17	2015-16
Ms Yvonne Gailey, Chief Executive	-	-
Mr Paul Keoghan, Director	-	-

iii) Directors' Remuneration and Accrued Pension Benefits*

Board Member appointments are not pensionable. The table below shows the value of accrued pension benefits and remuneration for Directors.

Directors' Remuneration and Accrued Pension Benefits	Basic Salary Band £'000	Benefit In Kind £100	Accrued Pension Benefits £'000	Total £'000
Ms Yvonne Gailey Chief Executive 2016-17	70-75	–	19	90-95
Ms Yvonne Gailey Chief Executive 2015-16	65-70	–	21	90-95
Mr Paul Keoghan Director 2016-17	60-65	–	25	85-90
Mr Paul Keoghan Director 2015-16	60-65	-	24	85-90

iv) Compensation on early retirement of for loss of office*

The value of payments made under compensation on early retirement of for loss of office for the reporting period was nil

v) Payments to past directors

The value of payments made to past directors in the reporting period was nil.

vi) Directors' Pensions Entitlements*

Board Member appointments are not pensionable.

Directors' pension benefits are provided through the Civil Service Pension arrangements. The Schemes are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions payable are increased annually in line with changes in the Retail Prices Index. Contribution rates payable by the employee are dependent upon annual pensionable earnings. For the reporting period 2016-17 the contribution rates payable by Directors was 7.35%.

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.

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.

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

The table below details the pension entitlements for each Director.

Pension Entitlements	Accrued pension and related lump sum as at 31/3/17 £5,000 Bands	Real increase in pension and related lump sum £2,500 Bands	CETV at 31/3/17 £'000	CETV at 31/3/16 £'000	Real increase in CETV £'000
Ms Yvonne Gailey	10-15	0 - 2.5	254	230	19
Mr Paul Keoghan	10-15	0 - 2.5	140	121	11

Staff Report

This report covers all staff employed by the Risk Management Authority, including directors. Over the reporting period the Risk Management Authority employed a total of 16.1 FTE staff costing £758,000. Key information in relation to staff includes:

i) Staff Costs*

The chart below provides details of the total staff costs incurred during the reporting period.

	2016-17 £'000	2015-16 £'000
Authority Members		
Salary	42	52
Social Security Costs	-	-
Total Authority Members	42	52

	2016-17 £'000	2015-16 £'000
Administrative staff		
Wages and salaries	576	661
Social Security costs	62	53
Pension costs	125	140
Total administrative Staff	763	854
Total Staff Costs	805	906

Average number of employees during the year:	No.	No.
Authority Members	7	8
Staff	16	19

ii) Staff Numbers*

Fixed term staff account for 25% of the total workforce. The chart below provides analysis of staff by engagement type.

Staff Number	
Number of Permanent Staff	12.0
Number of Fixed Term Staff	4.1
Total Number of Staff Employed	16.1

iii) Staff Composition*

The chart below provides analysis of the number of persons of each sex who were employed as directors or staff during the reporting period.

Staff Composition	Male		Female	
	Actual	FTE	Actual	FTE
Directors	1	1.0	1	1.0
Staff	5	5.0	9	9.1
Total	6	6.0	10	10.1

iv) Fair Pay Disclosure*

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 2016-17 was £70k-£75k (2015-16, £65k-£70k). This was 2.4 times (2015-16; 2.2) the median remuneration of the workforce, which was £30,556 (2015-16; £31,896).

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.

The table below presents fair pay disclosure information for current and prior years.

Top to Median Staff Pay Multiples	2016-17	2015-16
Band of Highest Paid Director's Total Remuneration £'000	70-75	65-70
Median Total Remuneration £	30,556	31,896
Ratio (%)	2.4	2.2
Range of Staff Remuneration £'000	20-75	13-70

v) Sickness Absence Data

During the year the Risk Management Authority the rate of absence increased.

Sickness Absence Data	2016-17	2015-16
Total Number of days absence due to sickness	100	84
Absence Rate (%)	3.2	1.7

vi) Number of Senior Civil Service Equivalents by Band

The chart below provides the number of senior civil service equivalent staff employed by the Risk Management Authority.

Number of Senior Civil Service Equivalents by Band	Directors	Staff
Band 1	2	–

Parliamentary Accountability Report

Auditor's Remuneration

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. External audit services for the 2016-17 accounts were at a cost of £6,770 (£6,500 in 2015-16) and no additional payments were made to the auditor for non-audit work.

Political Expenditure

The Risk Management Authority made no political donations or incurred no political expenditure in the financial year.

Gifts and Charitable Donations

The Risk Management Authority made no gifts or charitable donations in the financial year.

Losses and Special Payments

The Risk Management Authority incurred no losses or made special payments in the financial year.



Yvonne Gailey

Chief Executive and Accountable Officer

21st August 2017

Independent auditor's report

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

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 120 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.

Report on the audit of the financial statements

Opinion on financial statements

I have audited the financial statements in the annual report and accounts of The Risk Management Authority for the year ended 31 March 2017 under the Criminal Justice Scotland Act (2003). The financial statements comprise, the Statement of Comprehensive Net Expenditure, the Statement of Financial Position, the Statement of Cash Flows, the Statement of Changes in Taxpayers' Equity and notes to the financial statements, including a summary of significant accounting policies. 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 2016/17 Government Financial Reporting Manual (the 2016/17 FReM).

In my opinion the accompanying financial statements:

- give a true and fair view in accordance with the Criminal Justice Act (Scotland) 2003 and directions made thereunder by the Scottish Ministers of the state of the body's affairs as at 31 March 2017 and of its net expenditure 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 2016/17 FReM; and
 - have been prepared in accordance with the requirements of the Criminal Justice Act (Scotland) 2003 and directions made thereunder by the Scottish Ministers.
-

Basis of opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK and Ireland (ISAs (UK&I)). My responsibilities under those standards are further described in the Auditor's Responsibilities for the Audit of the Financial Statements section of my report. I am independent of the body in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standards for Auditors, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Responsibilities of the Accountable Officer for the financial statements

As explained more fully in the Statement of the Accountable Officer Responsibilities, the Accountable Officer is responsible for the preparation of financial statements that give a true and fair view in accordance with the financial reporting framework, and for such internal control as the Accountable Officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's responsibilities for the audit of the financial statements

My responsibility is to audit and express an opinion on the financial statements in accordance with applicable legal requirements and ISAs (UK&I) as required by the Code of Audit Practice approved by the Auditor General for Scotland. Those standards require me to comply with the Financial Reporting Council's Ethical Standards for Auditors. An audit involves obtaining evidence about the amounts and disclosures 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.

My objectives are to achieve reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK&I) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

Other information in the annual report and accounts

The Accountable Officer is responsible for the other information in the annual report and accounts. The other information comprises the information other than the financial statements and my auditor's report thereon. My opinion on the financial statements does not cover the other information and I do not express any form of assurance conclusion thereon except on matters prescribed by the Auditor General for Scotland to the extent explicitly stated later in this report.

In connection with my audit of the financial statements in accordance with ISAs (UK&I), my responsibility is to read all the financial and non-financial information in the annual report and accounts to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my report.

Report on regularity of expenditure and income

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.

Responsibilities for regularity

The Accountable Officer is responsible for ensuring the regularity of expenditure and income. I am responsible for expressing an opinion on the regularity of expenditure and income in accordance with the Public Finance and Accountability (Scotland) Act 2000.

Report on other requirements

Opinions on other prescribed matters

I am required by the Auditor General for Scotland to express an opinion on the following matters.

In my opinion, the auditable part of the Remuneration and Staff Report has been properly prepared in accordance with the Criminal Justice Act (Scotland) 2003 and directions made thereunder by the Scottish Ministers.

In my opinion, based on the work undertaken in the course of the audit

- the information given in the Performance Report for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with the Criminal Justice Act (Scotland) 2003 and directions made thereunder by the Scottish Ministers; and
- the information given in the Governance Statement for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with the Criminal Justice Act (Scotland) 2003 and directions made thereunder by the Scottish Ministers.

Matters on which I am required to report by exception

I am required by the Auditor General for Scotland to report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the auditable part of the Remuneration and Staff Report are not in agreement with the accounting records; or
- I have not received all the information and explanations I require for my audit.

I have nothing to report in respect of these matters.



Elaine Barrowman

Audit Scotland
4th Floor Athenaeum Building
8 Nelson Mandela Place
Glasgow G2 1BT
21st August 2017

Financial Statements

Statement of Comprehensive Net Expenditure

For the year ended 31 March 2017

		2016-17	2015-16
	Notes	£'000	£'000
Expenditure			
Staff costs	2	805	906
Other admin costs	3	267	262
		1,072	1,168
Income			
Income from activities	4	-	(68)
Net operating costs		1,072	1,100

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

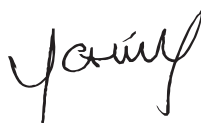
Statement of Financial Position

As at 31 March 2017

	Notes	2016-17 £'000	2015-16 £'000
Non-current assets			
Property, plant and equipment	5	22	42
Intangible assets	6	-	-
<i>Total non-current assets</i>		22	42
Current Assets			
Trade and other receivables	8	11	13
Cash and cash equivalents	9	694	610
<i>Total current assets</i>		705	623
Total assets		727	665
Current liabilities			
Trade and other liabilities	10	265	191
<i>Total current liabilities</i>		265	191
Total assets less current liabilities		462	474
Non-current liabilities			
Provisions	11	60	60
<i>Total non-current liabilities</i>		60	60
Total liabilities		325	251
Net Assets		402	414
Taxpayers Equity			
General Fund – Unallocated		402	414
General Fund – Allocated EEPICS Project		-	-
Deferred Government Grant		-	-
Total taxpayers equity	SOCTE	402	414

The annual accounts report the results of the Risk Management Authority for the year 1 April 2016 to 31 March 2017. The notes on pages 55 to 63 form part of these accounts. 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 authorises these financial statements for issue on the date noted below.



Yvonne Gailey

Chief Executive and Accountable Officer
21st August 2017

Statement of Cash Flows

For the year ended 31 March 2017

		2016-17	2015-16
	Notes	£'000	£'000
Cash flows from operating activities			
Net operating cost	SoCNE	(1,072)	(1,100)
Adjustments for non-cash transactions			
Depreciation	5,6	26	27
Movements in working capital			
(Increase)/decrease in trade and other receivables	8	2	(3)
Increase/(decrease) in trade and other payables	10	74	(40)
Net cash outflow from operating activities		(970)	(1,116)
Cash flows from investing activities			
Purchase of Property, Plant and Equipment	5,6	(6)	(16)
Net cash outflow from investing activities		(6)	(16)
Cash flows from financing activities			
Scottish Government Grant	SOCTE	1,060	1,182
Net cash flow from financing		1,060	1,182
Net increase/(decrease) in cash and cash equivalents		84	50
Cash and cash equivalents at beginning of period	9	610	560
Cash and cash equivalents at end of period	9	694	610
Net change in cash and cash equivalents		84	50

Statement of Changes in Taxpayers' Equity

For the year ended 31 March 2017

		2016-17	2015-16
	Notes	£'000	£'000
General Fund			
Balance at 1 April		414	332
Net operating cost for the year		(1,072)	(1,100)
Net funding		1,060	1,182
Balance at 31 March		402	414

Notes to the Accounts

For the year ended 31 March 2017

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 the current value of plant and machinery.

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

Buildings over 10 yrs

Furniture & Fittings over 5 yrs

Equipment over 5 yrs

Information Technology over 3 yrs

Software over 3 yrs

(c) Intangible Assets

The threshold for capitalisation of Intangible Assets is £1,000. Amortised historic cost has been used as a proxy for fair value of plant and machinery.

(d) Receivables

All material amounts outstanding at 31 March 2017 have been brought into account irrespective of when actual payments were made.

(e) Payables

All material amounts outstanding at 31 March 2017 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 fund. All income that is not classed as funding is recognised in the period in which it is receivable. Funding for the acquisition of general non-current assets received from the Scottish Government is credited to the general fund. Funding received from any source for the acquisition of specific assets is credited to the government grant reserve and released to the operating cost statement over the life of the asset.

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

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

(g) Operating Leases

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

(h) Provisions

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

(i) PCSP scheme

Employees of the Risk Management Authority have pension benefits provided through the Principal Civil Service Pension Scheme (PCSPS). The Risk Management Authority makes payments of superannuation contributions to PCSPS at rates set by the Government Actuary. The RMA has no liability for other employers' obligations to the multi-employer scheme.

The PCSPS is an unfunded multi-employer defined benefit scheme but the Risk Management Authority is unable to identify its share of the underlying assets and liabilities. The scheme actuary valued the scheme as at 31 March 2012. You can find details in the resource accounts of the Cabinet Office at <http://bit.ly/2stWwfp>

During the year ended 31 March 2017, the Risk Management Authority paid an employer's contribution of £125k (£140k in 2016) into the PCSPS at rates between 20.0 per cent and 22.1 per cent of pensionable pay (20.0 per cent to 22.1 per cent in 2016). The Risk Management Authority has been informed that contributions in 2017/18 will be at rates between 20.0 per cent and 22.1 per cent. Employer contribution rates are reviewed every three years following a scheme valuation by the Government Actuary. The contribution rates reflect benefits as they are accrued, not when costs are actually incurred, and they reflect past experience of the scheme. Employee contribution rates for the year ending 31 March 2017 ranged from 3.8% to 7.35%.

(j) Events subsequent to the date of the Statement of Financial Position

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

2. Staff Costs

Staff costs for 2016/17 were £805,000 (2015/16: £906,000). Further analysis of these costs are shown within the Accountability Report on page 46.

3. Other Administrative Costs

	2016-17 £'000	2015-16 £'000
Accommodation	72	68
Office equipment and furniture	4	1
Research and consultancy	17	27
IT Support	43	36
Training	6	10
Legal Fees & Expenses	25	5
Supplies & Services	13	13
Stationery	2	4
Catering and Hospitality	2	3
Expenses and Travel	19	29
Other Office Costs	18	14
Internal Audit Fee	7	5
External Audit Fee	7	7
Depreciation	26	27
Conferences	6	13
Total	267	262

4. Income from Activities

	2016-17 £'000	2015-16 £'000
Event and conference income	-	1
Seconded Salary Recharge	-	3
Reimbursement of IT costs *	-	64
Total	-	68

*The reimbursement of IT costs relate to the release of provisions for IT support costs provided by Scottish Government

5. Property, plant and equipment

	Equipment £'000	Information Technology £'000	Furniture & Fittings £'000	Total £'000
Cost				
Balance at 1 April 2016	32	66	70	168
Additions	-	6	-	6
Disposals / Write-downs	-	-	-	-
Balance at 31 March 2017	32	72	70	174
Depreciation				
Balance at 1 April 2016	32	49	45	126
Charge for year	-	15	11	26
Disposals	-	-	-	-
Balance at 31 March 2017	32	64	56	152
NBV at 31 March 2017	-	8	14	22
NBV at 31 March 2016	-	17	25	42
Analysis of asset financing				
Owned	-	8	14	22
Finance leased	-	-	-	-
NBV at 31 March 2017	-	8	14	22

Prior year	Equipment £'000	Information Technology £'000	Furniture & Fittings £'000	Total £'000
Cost				
Balance at 1 April 2015	32	54	66	152
Additions	-	12	4	16
Disposals / Write-downs	-	-	-	-
Balance at 31 March 2016	32	66	70	168
Depreciation				
Balance at 1 April 2015	32	34	33	99
Charge for year	-	15	12	27
Disposals	-	-	-	-
Balance at 31 March 2016	32	49	45	126
NBV at 31 March 2016	-	17	25	42
NBV at 31 March 2015	-	20	33	53
Analysis of asset financing				
Owned	-	17	25	42
Finance leased	-	-	-	-
NBV at 31 March 2016	-	17	25	42

6. Intangible Assets

	Software £'000	Total £'000
Cost		
Balance at 1 April 2016	106	106
Additions	-	-
Disposals	-	-
Balance at 31 March 2017	106	106
Depreciation		
Balance at 1 April 2016	106	106
Charge for year	-	-
Disposals	-	-
Balance at 31 March 2017	106	106
NBV at 31 March 2017	-	-
NBV at 31 March 2016	-	-
 Prior year		
	Software £'000	Total £'000
Cost		
Balance at 1 April 2015	106	106
Additions	-	-
Disposals	-	-
Balance at 31 March 2016	106	106
Depreciation		
Balance at 1 April 2015	106	106
Charge for year	-	-
Disposals	-	-
Balance at 31 March 2016	106	106
NBV at 31 March 2016	-	-
NBV at 31 March 2015	-	-

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 and other receivables

	2016-17 £'000	2015-16 £'000
Amounts falling due within one year:		
Other receivables – Central Government	-	-
Other receivables – External	11	12
Other receivables – Other Government Bodies	-	1
Total receivable within 1 year	11	13

9. Cash and cash equivalents

	2016-17 £'000	2015-16 £'000
Balance at 1 April	610	560
Net change in cash and cash equivalent balances	84	50
Balance at 31 March	694	610
The following balances at 31 March were held at:		
Government Banking Service and cash in hand	689	606
Corporate cash account	5	4
Balance at 31 March	694	610

10. Trade and other payables

	2016-17 £'000	2015-16 £'000
Amounts falling due within one year:		
Trade Creditors – Central Government	132	-
Trade Creditors – External	10	-
Trade Creditors – Other Government Bodies	-	-
Accruals and deferred income – Central Government	93	148
Accruals and deferred income – External	26	24
Accruals and deferred income – Other Government Bodies	4	19
Total due within one year	265	191

11. Provisions for liabilities and charges

The lease on the premises at St James' House expired 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. Scottish Government is currently in discussions with the landlord regarding the cost of dilapidations, the Risk Management Authority's liability is restricted to £60,000.

	2016-17 £'000	2015-16 £'000
Balance at 1 April	60	60
Provided in year	-	-
Balance at 31 March	60	60

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

13. Capital Commitments and Contingent Liabilities

The Risk Management Authority is subject to legal challenge in which the pursuer alleges the authority's guidance on risk assessment is discriminatory and breaches human rights. Given the level of uncertainty it is not possible to quantify contingent liability. No provision has been made in these financial statements to reflect any impact from this decision.

14. Commitments under leases

The total value of commitments under operating leases is £76,700.

Obligations under operating leases comprise:	31 Mar 2017 £'000	31 Mar 2016 £'000
Buildings:		
Not later than one year	46	46
Later than one year and not later than five years	31	77
Later than five years	-	-

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

15. Segment Reporting

All expenditure, assets and liabilities disclosed with the accounts relate solely to the delivery of the Authority's statutory functions.

**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 handwritten signature in black ink, appearing to read 'John Kilodron'.

A member of the staff of the Scottish Ministers

Dated 10 February 2006

RMA statutory functions

The RMA is a Non Departmental Public Body, established in 2005 under the Criminal Justice (Scotland) Act 2003.

The RMA is sponsored by the Parole Unit of the Justice Directorate and operates to an agreed structure known as a Sponsorship Framework. It sets out:

- the RMA's overall aims, objectives and targets in support of the Scottish Ministers' wider strategic aims;
- the rules and guidelines relevant to the exercise of the RMA's functions;
- the conditions under which any public funds are paid to the RMA, and
- how the RMA is to be held to account for its performance.

The Criminal Justice (Scotland) Act 2003

Policy and Research

Section 4(a). The RMA is to:

- compile and keep under review information about the provision of services in Scotland;
- compile and keep under review research and development;
- promote effective practice; and
- give such advice and make such recommendations to the Scottish Ministers as it considers appropriate.

Section 4(b). The RMA may:

- carry out, commission or co-ordinate research and publish the results of such research; and
 - undertake pilot schemes for the purposes of developing and improving methods.
-

RMA statutory functions

Guidelines and Standards

Section 5. The RMA is to:

- prepare and issue guidelines as to the assessment and minimisation of risk; and
- set and publish standards according to which measures taken in respect of the assessment and minimisation of risk are to be judged.

Risk Management Plans

Section 6 (5).

- The RMA is to specify and publish the form of risk management plans.

Section 6(6).

- The RMA may issue guidance (either generally or in a particular case) as to the preparation, implementation or review of any risk management plan.

Section 8(4).

- To approve or reject risk management plans.

Section 9.

- To consider the implementation of risk management plans by the Lead Authority.
- The Lead Authority is to report annually as to the implementation of the risk management plan.

Accreditation, Education and Training⁷

Section 11(1).

- The RMA has a duty to accredit any manner of assessing and minimising risk and accreditation of any person having functions in assessment and minimisation of risk.

Section 11 (2b).

- The RMA may provide, or secure the provision of, education and training in relation to the assessment and minimisation of risk for any person having functions in that regard.

⁷ Part 1 section 4 & 11 of the Criminal Justice (Scotland) Act 2003, Risk Assessment and Minimisation (Accreditation) Scheme (Scotland) Order 2006

Glossary

CJSW – Criminal Justice Social Work

Criminal Justice Services whose purpose is to achieve a reduction in re-offending, increase social inclusion of former offenders and support victims of crime

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

Assessment that measures the risk and need factors of offenders, and case management 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

RoSH – Risk of Serious Harm

The likelihood of harmful behaviour of a violent or sexual nature, which is life threatening and/or traumatic, and from which recovery, whether physical or psychological, may reasonably be expected to be difficult or impossible

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7 Thread Street
Paisley
PA1 1JR

0141 278 4478
info@rmascotland.gsi.gov.uk
www.rmascotland.gov.uk

Risk Management Authority

