2018-19

Annual Report
& Accounts

RMA

Contents

Overview

37

OLR Risk Management Plans approved

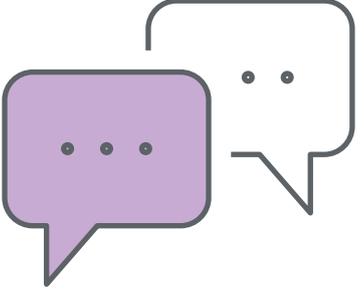**91**

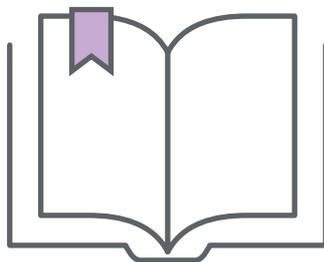Social Workers and Police staff trained in risk practice
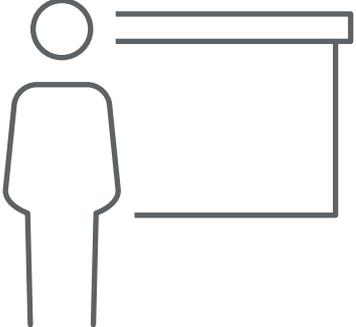
123

OLR Annual Implementation Reports reviewed

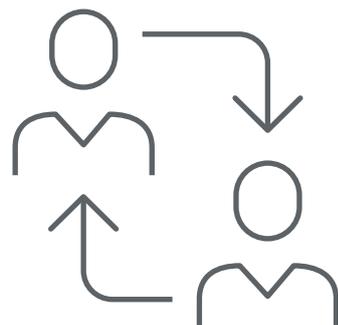**306**

Responses to helpdesk queries from social workers using LS/CMI in community and prison settings

Standards & Guidelines published

Internet Offending Literature Review published

15

National Development Groups and Working Groups provided with advice and contributions

Convener's Foreword

At the end of my second year as Convener of the Board of the Risk Management Authority (RMA) I am delighted to present the Annual Report for the financial year 2018/2019. I am grateful to everyone who has contributed to development of the report and trust that it provides a useful summary of the performance of the RMA over the last year.

David Crawford
Convener

The responsibilities of the RMA are defined in statute and are unchanged from previous years. The established pattern of annually increasing numbers of persons subject to the Order for Lifelong Restriction (OLR) continued in 2018/19. As in previous years the increase is modest but reflects the continuing value of the OLR in the range of sentencing options available to Scottish courts. The RMA requires to regularly review its practises and procedures to ensure that they remain robust and defensible while responding to the projected increases in OLRs. This year the Board and senior officers continued to look at how best to deal with the likely increase in demand within what we anticipate will be broadly unchanged resources.

The vast majority of those subject to an OLR remain in custody, however a growing number are progressing to a position where discharge into the community is being actively considered. As this pattern develops, supporting local authorities to take on the statutory role of "lead authority" becomes a growing focus of our work. This issue has been a feature of the Board's discussions in 2018/19 and staff are working to develop systems and resources to assist local authorities in the coming years.

2018/19 saw us fully establish our Scheme of Delegation which transfers the responsibility for the approval of the vast majority of Risk Management Plans from the Board to the Chief Executive and senior officers. This change has quickly become established and is viewed very positively. It represents a fundamental change in the role of the Board, moving us away from operational decision making towards a role defined by scrutiny and strategy. This is both a change and a challenge for the Board and in the course of the year we have taken time to consider the impact of these changes, in order to ensure that we continue to fully discharge our functions as a Board.

This year the Board and senior officers continued to look at how best to deal with the likely increase in demand within what we anticipate will be broadly unchanged resources.

In the course of the year we have recruited two new members to the Board: Stephen McAllister and Michele Gilluley bring considerable experience and knowledge and their appointments return the Board back to full strength. The established Board members have worked with their customary dedication throughout the year and I am extremely grateful to them for their continuing contribution to the RMA.

As 2018/19 ends we are faced with the very considerable challenge of replacing our Chief Executive, Yvonne Gailey, who has indicated her intention to retire in September of 2019. The replacement of a senior leader is hugely challenging for a small and highly specialised organisation like the RMA, but recruitment arrangements are already in hand and we have the benefit of an extended period of notice to help us make the transition as smooth as possible.

I trust that you will find the annual report useful and informative.

David Crawford
Convener

Chief Executive's Commentary

As Chief Executive and Accountable Officer of the Risk Management Authority (RMA) I introduce this section of our annual report, providing a summary of our performance over the past twelve months. The details of our activities against our business plan objectives are contained in the Performance Analysis section that follows.

Yvonne Gailey
Chief Executive

Our work is driven by a commitment to promote effective 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. We approach this work in a number of ways including setting standards for practice, influencing and assisting agencies to adopt those standards through publishing guidelines, delivering training and providing advice, all of which are underpinned by research. In addition, we provide assurance on practice in relation to the Order for Lifelong Restriction (OLR) through the accreditation of assessors and approval of risk management plans.

None of these we accomplish on our own; each relies on sound and continuous engagement and partnership with stakeholders. You will read in this report how, in 2018-19, our work has incorporated a wide range of engagement and facilitation activities, both maintaining on-going initiatives and responding to emerging priorities by embarking on new areas of work.

Last year a project was initiated to develop practice guidance on the assessment of risk posed by internet offending, to support the Scottish Government to respond to the recommendation of the Joint Thematic review of MAPPA in Scotland (HMICS, 2015). This year an important milestone was reached in the publication of a comprehensive review of the research literature. This publication has been received warmly by our stakeholders. We then progressed to draft a practice model that will be subject to testing in the coming year.

This year saw the delivery of a further major publication – the Standards and Guidelines for Risk Assessment Report Writing. This publication reflects developments in the research and practice literature since the previous version was developed in 2006. Specifically, it features a strong emphasis on risk formulation and sets a standard for practice in the preparation of risk assessment reports. Both publications represent significant achievements and the successful delivery of specific strategic objectives for 2018-19. However, equally important are the operational objectives that are progressed year by year and demonstrate a commitment to continuous review and development.

"An important achievement this year has been the successful commissioning of a case management system to support, in particular the OLR case work."

Our work in relation to the OLR continues to ensure that all risk management plans (RMPs) are approved and accreditation applications evaluated within the statutory timescales. I trust that from the report you will come to understand our continuous efforts to refine and improve our processes to ensure that they are robust and facilitative, providing value through our evaluation of practice and advice given. Last year I reported that a revised process to delegate the approval of RMPs to the RMA executive had been developed with the aim of creating greater efficiencies. I am pleased to report that, as planned, this revised process was introduced in April 2018. In this report you will learn more detail of this work.

I have reported over several years on the successful 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 continues with the satisfaction rates, knowledge gain and learning outcomes remaining high. This year our attention has turned to working with the Scottish Prison Service to develop and deliver a training programme designed to support case managers in the preparation of risk management plans. The first delivery of this training programme took place in November 2018 to 20 case managers and staff; hereafter it will be delivered annually to maintain a cohort of trained case managers within SPS.

An important achievement this year has been the successful commissioning of a case management system to support, in particular the OLR case work. This has the potential to deliver significant gains in efficiency, effectiveness and development opportunities.

As always our progress has been realised through collaboration with key stakeholders, and the commitment of a valued team of staff and Board members. The RMA has a committed Board led ably by the Convener, David Crawford. Over the last year, the composition of the Board has changed following the appointment of Michelle Gilluley and Stephen McAllister – both bring valuable knowledge and experience to complement that of our longer-serving members, Aileen Burnett, Terry Powell, Jane Davey, Chris Hawkes and Stephen Swan. We also have a dedicated and conscientious staff group, and as this is the last year in which I will have the privilege of reporting on the RMA's work, I wish to give special mention and appreciation of them. Without exception, the RMA team works extremely hard to deliver high quality services to our stakeholders, and ultimately the Scottish public.

I am pleased to present this annual report. I hope you will enjoy reading it and learning more of our achievements and progress in 2018-19.

Yvonne Gailey
Chief Executive

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 promotes public protection, rehabilitation and reintegration.

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.

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 are committed to this approach, and we work with those agencies continuously to find new ways to advance consistency and effectiveness.

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 ongoing 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 offending[1]. The OLR is a sentence imposed by the High Court that provides for imprisonment or detention for an indeterminate period and lifelong risk management.

Such a life restricting sentence, designed to prevent life endangering harm, needs mechanisms to ensure that it is only applied when justified. 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 to progress towards release and their continued supervision in the community thereafter. 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 imposing an OLR. Those assessors attain accreditation after demonstrating that they meet a set of criteria and competencies, and produce risk assessment reports that are consistent with the RMA's standards and guidelines.

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 risk.

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, the RMA sets standards for practice, for which due regard must be given by all involved; support practitioners in meeting those standards, and operate a set of robust processes to administer accreditation and approval functions.

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

Corporate Structure

The Risk Management Authority is a Non Departmental Public Body established in 2005 by the Criminal Justice (Scotland) Act 2003. The Chief Executive, Yvonne Gailey, is accountable to the Scottish Government Community Justice Division, who act as the sponsor and funder; and the RMA Board who provide strategic direction and monitor progress.

The RMA has a small structure of 18 permanent staff plus fixed-term staff:

Sponsor Department
Scottish Government
Community Justice Division

Board Members (8)

Chief Executive & Accountable Officer

Operations (13)
Policy, Training, Research,
Standard Setting and the OLR

Corporate Services (4)
Governance, Finance
and Administration

Risks & Uncertainties

The RMA uses active and alert risk management to systematically identify, record, monitor and report risks, which then allows for actions to be taken to mitigate those risks.

On a national level, the risk assessment of internet offenders continues to be a priority issue for the Scottish Government. Following a recommendation by the Joint Thematic Review of MAPPA in Scotland (Her Majesty's Inspectorate of Constabulary in Scotland, 2015), in 2018 the RMA published a research study focused on internet offending and drafted a practice model. This area of work will continue in 2019-20, focusing on further developing the practice model and the production of practice guidelines specifically designed for the Scottish context.

The RMA implemented a new workforce structure and a revised process for the approval of OLR Risk Management Plans to meet the requirements of our functions and help us cope with increased demand for our work. We continue to actively support the development of our stakeholders with responsibilities for managing OLR offenders.

The RMA is committed to supporting a culture of effective risk management whereby appropriate procedures which focus on the achievement of organisational aims and objectives are embedded within the organisation. The Accountable Officer has overall responsibility for risk management and the RMA Board, through its Audit & Assurance Committee, has responsibility for organisational governance and oversight. The RMA Management Team has day to day responsibility for the systems of internal control, including risk management controls.

The risk register is reviewed monthly and as at year end contained 12 corporate and 12 operational risks, of which 4 were categorised as low, 10 as medium, 9 as high and 1 as very high. The very high risk concerns changes to OLR demographics which could present significant challenges to RMA processes and resources. Treatment plans including the development of a targeted stakeholder communications strategy and establishing governance protocols with local authorities are expected to reduce the likelihood of this risk significantly over the next twelve months.

Performance Analysis

Risk Management Authority contributions to justice outcomes and priorities.

Justice Outcomes	We live in safe, cohesive and resilient communities	Prevention and early intervention improve wellbeing and life chances	Our systems and interventions are proportionate, fair and effective	We deliver person-centred, modern and affordable public services
Justice Priorities	We will work quickly to identify offenders and ensure responses are proportionate, just, effective and promote rehabilitation		We will use prison only where necessary to address offending or to protect public safety, focusing on recovery and reintegration	
RMA Purpose	Make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes			
RMA 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	
RMA Outcomes	Risk assessments are conducted in an evidence based, structured manner Risk management is supported by an appropriate level of risk assessment Risk management measures are tailored to the needs of the individual Changes in the level of restrictions or interventions are justified and supported by a suitable assessment of risk Risk management plans are implemented and reviewed routinely, and in response to change Agencies work together in the assessment and management of risk Methods of evaluation are employed to assure the quality and impact of assessment and management practice			

Business Plan 2018-19

Each year the Board agrees objectives that contribute to the achievement of the RMA's Corporate Plan. The Corporate Plan contains three strategic aims: these are aligned to our statutory functions as well as National Outcomes and the Justice Strategy for Scotland.

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

By supporting justice partners we promote effective practice and work towards the shared goal of making Scotland safer and reducing reoffending. Our results against the Business Plan 2018-19 demonstrate progress against our objectives and each aspect of the Corporate Plan.
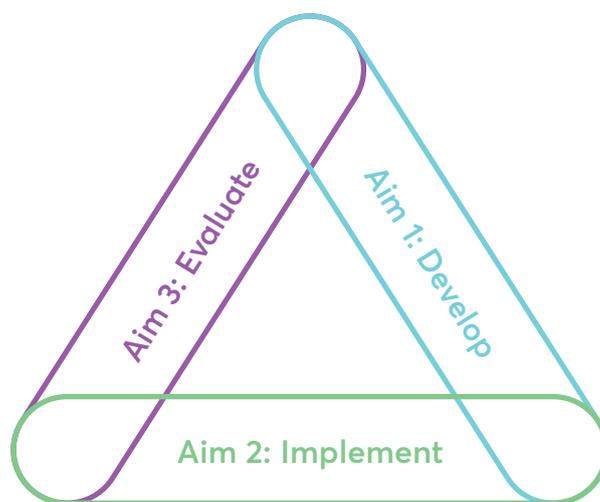
Results against Business Plan objectives 2018-19

Strategic Aim 1: Develop

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

Development of practice is achieved though the setting of standards, production of guidelines, policy frameworks and practice research.

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

Research: Internet Offending

In November 2018, the RMA published a *Review of the Risk posed by Internet Offenders*.

This publication was conducted in response to a recommendation by the Joint Thematic Review of Multi-Agency Public Protection Arrangements (MAPPA) in Scotland. (Her Majesty's Inspectorate of Constabulary in Scotland, 2015). This stated that: *"the Scottish Government in partnership with the Risk Management Authority and responsible Authorities should provide additional guidance to enable staff to better assess the risk posed by internet offenders."*

We are grateful to the members of the MAPPA Strategy and Development Groups and Dr Ethel Quayle for their support in publishing this review.

The publication will be a useful resource for practitioners involved in the assessment of those convicted of internet offences. The publication provides an evidenced based foundation for the selection of a suitable risk assessment tool for internet offenders, the development of a practice model and guidance. Over the forthcoming year the RMA will work with Scottish Government, Criminal Justice Social Work, Police Scotland and Scottish Prison Service during the next stage of the project.

Publication: Standards & Guidelines for Risk Assessment Report Writing

In October 2018, the RMA announced the publication of revised Standards and Guidelines for Risk Assessment Report Writing.

The S&Gs were developed in consultation with relevant justice partners and take account of the latest developments in risk practice, including the promotion of a formulation-based approach.

The standards form a benchmark for criminal justice practice, establishing a series of mandatory elements which must be evident within risk assessments, and set out advisory notes to guide assessors in how to conduct thorough and defensible risk assessments. The publication applies specifically to assessors appointed by the High Court to undertake risk assessments where an Order for Lifelong Restriction is being considered, however they can be applied by any person having functions in relation to the assessment of risk.

For full details see page 28 and to download a copy visit www.rma.scot

Support national initiatives to promote effective practice and consistency with FRAME

The RMA continue to contribute to a range of national development and working groups.

In 2018-19, staff provided input to fifteen such groups, including the MAPPA Strategy and Development Group; Community Justice Learning Development and Innovation Working Group; SPS Case Management Steering Group; and the Home Detention Curfew Governance and Guidance Group.

Inputs included presentations on the implications for practitioners arising from the literature review on internet offending, support to the MAPPA extension, and presentations on the RMA's LS/CMI In Practice reports (use of the LS/CMI in custody and in the community).

Work with Community Justice Scotland to redevelop LS/CMI training

The RMA worked in partnership with Community Justice Scotland and Social Work Scotland to review and further develop Level of Service / Case Management Inventory (LS/CMI) training. Options for the future delivery of the training will continue to be developed in 2019-20.

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.

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

Fundamentals of Risk Practice training

The RMA delivered training courses to support risk practitioners in the assessment and management of individuals who present a risk of serious harm. The training outlines the fundamental principles and equips practitioners with skills and confidence to apply these principles in practice.

The training structure specifies a three day course for criminal justice social workers (CJSW) and a two day course for Police offender management officers.

During 2018-19, the RMA delivered three Risk Practice courses to sixty nine CJSW practitioners and one Risk Practice course to twenty two Police offender management officers.

See page 23 for full details on our training delivery, outcomes and course evaluations.

Training: Develop risk practice training for the Scottish Prison Service

Working in collaboration with the Scottish Prison Service, the RMA developed and delivered a two day training course for OLR Case Managers.

A training needs analysis was produced to shape the development of the training materials and content, and a trial delivery of the course was held in October 2018.

The first formal delivery of the training course took place in November 2018 at SPS College to 20 attendees, including heads of psychology and a principal psychologist, and was positively received by all.

The programme for future delivery will now be developed for 2019-20; taking the knowledge gained from this years' delivery and reviews of self-evaluation methods, to scope the wider training needs of case managers and inform future practice development work across the sector.

Support to LS/CMI practitioners

The RMA provided a package of support to LS/CMI practitioners across Scotland. Support was given to mentors by further developing our methods of engagement and responding to requests for advice to promote effective application and implementation. We coordinated the national change management process with 100+ mentors to ensure requirements were identified, reviewed and implemented within the LS/CMI Working Group and Change Board. Working with the Scottish Government and IT developers, we provided advice on the future development of the system; and produce two evaluation reports on Risk of Serious Harm and the application of the LS/CMI within custodial establishments to support quality assurance of the method.

Risk Assessment Tools Evaluation Directory (RATED)
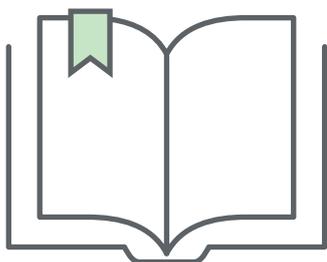
The RMA conducted a comprehensive review and update to the Risk Assessment Tools Evaluation Directory (RATED). Following a scoping exercise of the relevant literature, a number of additional tools have been added, providing a new total of sixty-one risk assessment tools within the directory.

An updated Equality Impact Assessment was produced to consider the contribution of RATED to the RMA's public sector equality duties.

For this fourth edition, RATED has been restructured into eight sections and contains:

- Tools for female offenders and individuals with learning disabilities and personality disorders grouped together as 'Responsivity Issues.'

- Intimate partner violence and stalking amalgamated into one section.

- The sexual offending section now combines tools relating to sexual violence and internet offending.

- Instruments for adolescents are now contained in three sections, divided by general risk assessment, violence and sexual violence.

- The remaining two sections focus on general risk assessment and violence risk for adult offenders.

As part of the update, the most recent research studies pertaining to each tool were reviewed and added to existing entries; and further background context was added for each type of offending. Tool authors were also consulted widely throughout the process.

The RMA website has been prepared and updated to host the new version, with additional features now including direct links to articles and abstracts. The date for publication of RATED on the RMA website is scheduled for Summer 2019.

Applications for further period of accreditation: evaluations and decisions

The RMA considered 5 applications for further periods of accreditation, with all five applications approved.

The cohort of assessors available to undertake Risk Assessment Reports on behalf of the High Court remains at 14; this number of RMA Accredited Assessors is sufficient to meet the current demands of the High Court.

Approval of initial risk management plans for those sentenced to an OLR

Legislation requires the RMA to approve the Risk Management Plan for each offender sentenced to an Order for Lifelong Restriction within nine months of the date of sentence.

Over the course of 2018-19 the RMA received 10 initial risk management plans from Lead Authorities. The RMA subsequently approved all 10 within the statutory timescale.

Approval of amended risk management plans

Amended risk management plans are submitted by Lead Authorities to the RMA where there is a significant change or change in lead authority.

Over the course of 2018-19 the RMA received and approved 27 amended risk management plans.

Strategic Aim 3: Evaluation

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

Practice is assessed by producing evaluation reports and undertaking quality assurance processes to identify opportunities for continuous improvement.

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

Annual review of implementation of risk management plans

Under the Criminal Justice (Scotland) Act 2003 Section 9(4) states the Lead authority is to report annually to the RMA as to the implementation of the risk management plan. Over the course of 2018-19 the RMA received 154 reports from lead authorities on the implementation of plans. The CJSA further provides under section 9 (2) that where RMA considers that the lead authority or any such other person is failing, without reasonable excuse, to implement the plan in accordance with those functions, the RMA may give direction to the lead authority or, as the case may be, the person as to the implementation of the plan. The lead authority and the person must comply with such directions. The RMA can report it did not have to issue any such directions over the course of 2018-19.

Over the course of 2018-19 the RMA received 154 Annual Implementation Reports for review.

Evaluation of risk practice training

The RMA undertook evaluations of the impact of risk practice training delivered to social workers to investigate the effectiveness of the training in developing participant knowledge and confidence, and to inform recommendations for future training delivery. A secondary purpose of the evaluation was to scope the potential for a future post-training provision, which could involve providing trainees with feedback on risk management plans produced after they have attended training. A report on these evaluations will be published in 2019-20.

RMA contributions to effective practice

A key aspect of the RMA's work concerns its statutory function to promote effective practice.

The RMA undertakes this function in a number of ways, including publishing standards and guidelines, delivering risk practice training, carrying out research; and engaging with stakeholders across the justice system in Scotland.

National Working Groups

Risk Practice Training

Publications

International Engagement

LS/CMI Support

Promote Effective Practice
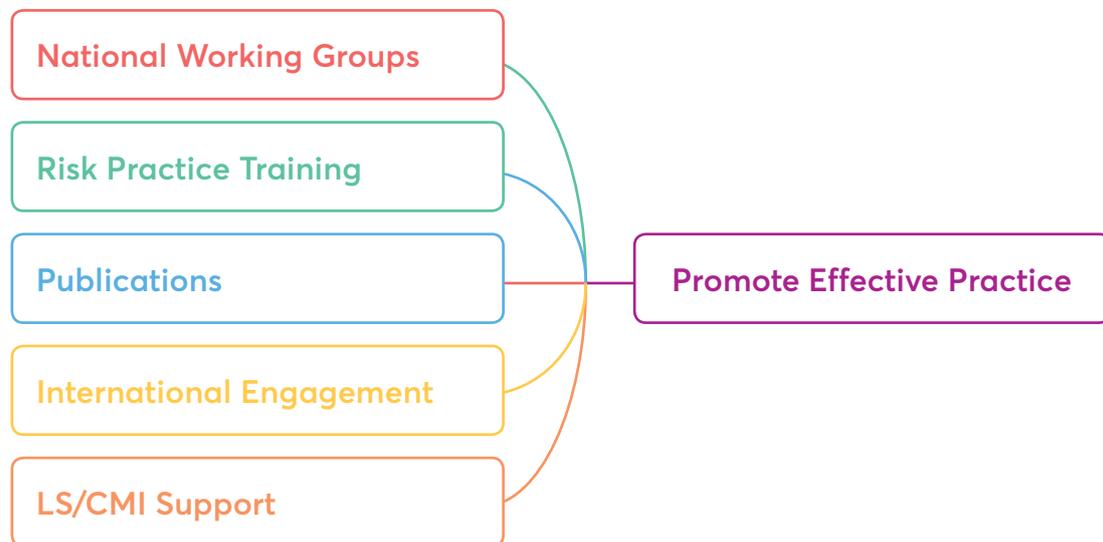
National Working Group contributions & external support

In 2018-19 the RMA supported a number of national development and working groups. Throughout the year, RMA staff also provided advice and contributions to a range of stakeholders; delivering inputs at conferences, seminars and development days.

Group	Purpose	RMA contribution
Home Detention Curfew: Guidance and Governance Group	The Home Detention Curfew (HDC) scheme provides a managed transition from prison to community for offenders serving short sentences. The Guidance and Governance Group are reviewing Inspectorate recommendations with a view to updating HDC guidance.	Advice and review of guidance.
MAPPA National Strategy Group	The Multi-Agency Public Protection Arrangements (MAPPA), are a set of statutory partnership working arrangements introduced in 2007. The Strategy Group involves the Chairs of each MAPPA Strategic Oversight Group in Scotland.	Online offending literature review presentation and practice model proposal. Ongoing input to discussions.
MAPPA Development Group	Oversees development of MAPPA in Scotland including MAPPA guidance, ViSOR, training, inspection recommendations.)	Updates on training and reviews of MAPPA guidance.
MAPPA Coordinators Group	Remit includes sharing practice and developing consistency across agencies.	Inputs on quality assurance and literature review.
MAPPA Level 1 Minimum Standards Short Life Working Group	Oversees MAPPA inspection recommendation 5: "Scottish Government in partnership with Responsible Authorities should collaborate in order to develop minimum practice standards for the management of Level 1 registered sex offenders in order to support consistent and efficient practice."	Provided advice on Level 1 Standards, for consistency with FRAME and Standards and Guidelines for Risk Management.
Social Work Scotland (SWS) Justice Standing Committee	The Committee works to influence and shape legislation and policy relating to justice social work service delivery; to provide strategic leadership to the sector; to support the development of our workforce using evidence based approaches; to foster a culture of continuous learning and improvement and to promote the unique role, value and contribution of justice social work.	Inputs on literature review.

Group	Purpose	RMA contribution
SWS Adult Justice Throughcare Practice Network	Group for prison and community based social work managers.	Inputs on online offending, and LS/CMI custodial and RoSH evaluations.
Scottish Prison Service (SPS) Multi-Agency Case Management Steering Group	Multi-agency group overseeing development of SPS case management processes.	Advice on models and risk assessment.
LS/CMI Working Group	Oversees development of LS/CMI method and system, bringing together representatives from the RMA, Social Work Scotland, the Scottish Prison Service, Community Justice Scotland and the Scottish Government	Coordinate the national change management process with over 100 mentors, to ensure requirements are identified, reviewed and implemented.
LS/CMI System Change Board and Cadence groups	Promotes consistent use of the LS/CMI method between prison, community and MAPPA	Ongoing input and contribution to LS/CMI IT system updates and development.
Risk Matrix/ Stable and Acute 2007 Trainers group	A forum where trainers can discuss current practice, potential changes and consistency within the training and implementation of the RM2K and SA07within Scotland.	Ongoing input and contribution to discussions on risk practice.
Forensic Network Research Special Interest Group (FNRSIG)	The Forensic Network Research Special Interest Group (FNRSIG) is a multi-disciplinary group which includes Forensic Network partner organisations and NHS regions to support research within the network.	Providing updates in relation to ongoing or upcoming research projects.
National Youth Justice Advisory Group (NYJAG)	The key role of NYJAG is to provide a forum with representation from local authorities responsible for the implementation of youth justice practice along with representation from key partner agencies, including the voluntary sector, who have the responsibility for youth justice strategic development and practice implementation	Ongoing input to discussions.
Age of Criminal Responsibility (Scotland) Bill: Guidance for professionals Working Group	Working Group designed to consider the implications and appropriate changes required in relation to proposals to change the age of criminal responsibility within Scotland.	Ongoing input to discussions that relate to risk assessment and management.

Risk Practice Training

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

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 and increase practitioner confidence in applying these principles in practice.

Large-scale delivery of this training was initially provided by the RMA in 2015-16 to support the Scottish Government's policy commitment to extend the Multi Agency Public Protection Arrangements (MAPPA). Since then, the RMA have provided a programme of training to meet ongoing social work and police demand, through agreement with the Scottish Government.

Over 2018-19 we have maintained training delivery to Criminal Justice Social Workers and Police Offender Management Officers, providing:

• A three day course for criminal justice social workers

• A two day course for Police offender management officers

During 2018-2019, the RMA delivered 3 Risk Practice courses to 69 criminal justice social work practitioners and 1 Risk Practice course to 22 Police offender management officers.

Feedback on the quality of the training provided has continued to be very positive:

"Overall knowledge, engagement and management of both facilitators was very helpful"

"Excellent training, no need for improvement."

"One of the best training courses I have been on for ages!"
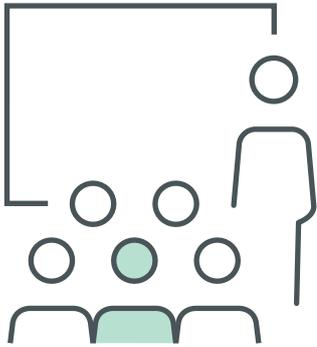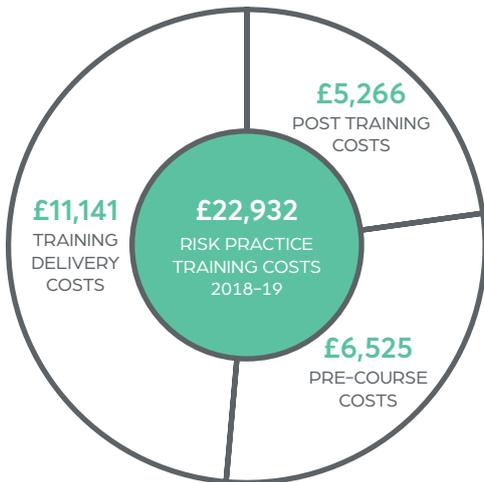
22
Police Officers trained

3
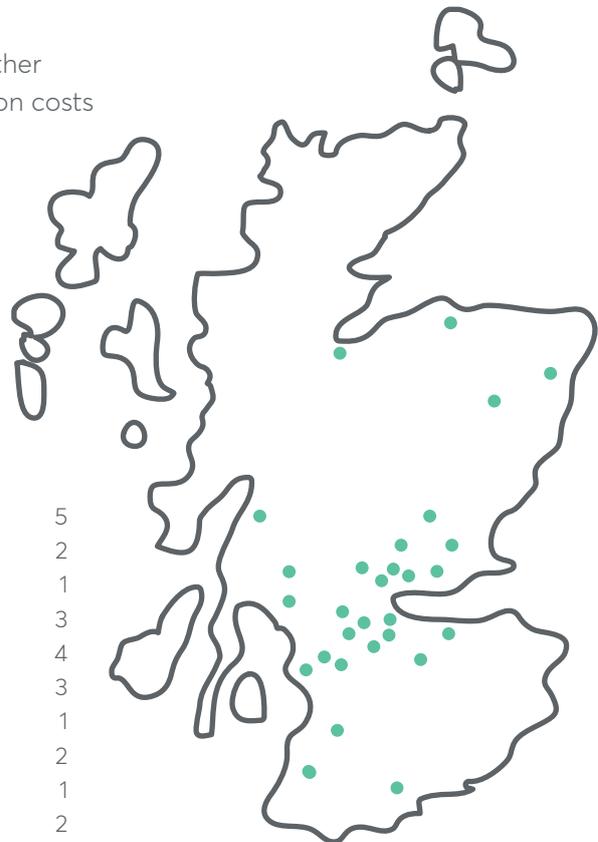Risk Practice courses delivered

1
Police Risk Practice courses delivered

£5,266
POST TRAINING COSTS

£11,141
TRAINING DELIVERY COSTS

£22,932
RISK PRACTICE TRAINING COSTS 2018-19

£6,525
PRE-COURSE COSTS

8%
of 2018-19 other administration costs

69
Social Workers trained

Aberdeen City	1	Inverclyde	5
Aberdeenshire	4	Midlothian	2
Angus	1	North Ayrshire	1
Clackmannanshire	3	North Lanarkshire	3
Cne-Siar	1	Perth & Kinross	4
Dumfries & Galloway	2	Renfrewshire	3
East Ayrshire	4	RMA staff	1
East Dunbartonshire	2	Scottish Borders	2
East Lothian	2	Shetland	1
Edinburgh	5	South Ayrshire	2
Falkirk	2	South Lanarkshire	4
Fife	3	Stirling	1
Glasgow	5	Western Isles	3
Highland	3	West Lothian	2

Summary of training (August 2015 to March 2019)

Since commencing training in 2015, the RMA has delivered
27 Fundamentals of Risk Practice training courses to
568 justice social workers.

Number of Social Workers trained
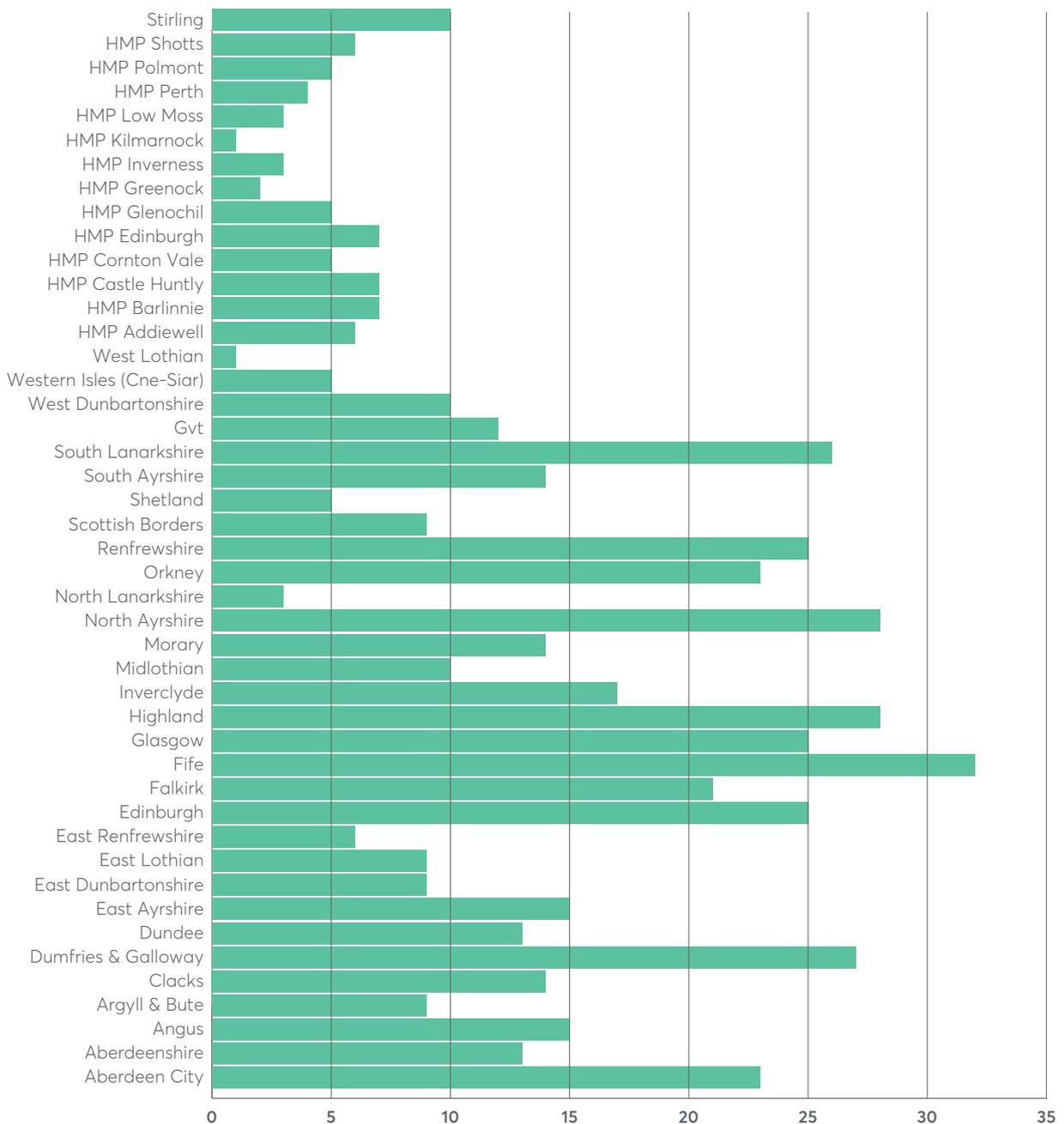
Risk Practice Training - Learning Evaluations

During 2018-19 the RMA continued to evaluate the effectiveness of risk practice training delivery. We can report that all courses demonstrated knowledge gain and increase in practitioner confidence.

Feedback was drawn from three sources:

1. A self-evaluation within which participants reflected on the course content and delivery, and their perceived learning gain.

2. A pre-course knowledge check related to the learning points in the course.

3. A post-course knowledge check repeating the pre-course check.

Learning gain for the training delegates indicated:

14% average improvement, with the average pre-course score of 79% increasing to 93% in the post-course assessment.

During the year the RMA produced two evaluation reports which demonstrated training outcomes and informed proposals for future delivery:

Assessment of Learning Report

This report showed that overall participants' average understanding increased significantly from pre to post-training. This included improvements in understanding the principles of FRAME, offence analysis, risk scenarios, risk summary, components of the RMP, and risk management strategies. There were also increases in understanding in relation to the purpose and steps of risk assessment, the risk of serious harm definition, understanding risk and protective factors, the purpose of formulation, MAPPA risk criteria, and contingency measures.

Participants expressed high levels of satisfaction in terms of their training expectations, the quality of training materials, their understanding of content, skills being enhanced, training structure and transferability of skills. Furthermore all the training methods received high satisfaction levels. There was also consistently positive feedback on the trainers delivery style, skills and characteristics, and how they engaged participants. The administration of the course, the environment and the desire to recommend the course to others also scored highly for satisfaction. Finally there were significant improvements in self-evaluated learning in relation to all areas of training content.

Evaluation Report

This report showed that the risk assessment sections of plans evaluated by the RMA indicated both strengths and areas for development. There were promising indications of attempts to link identified measures of change to the formulation and contingency plans. Areas for development to be taken forward included case summaries, formulations and appropriate application of the MAPPA risk of serious harm levels.

Positively, the risk management sections of the RMPs were a pronounced strength within the evaluated plans. Overall risk management strategies were proportionate, balanced and clearly documented limitations. In a similar vein, participants showed strengths in their application of partnership-working within the evaluated plans. Overall the RMPs showed good use of appropriate language and helpful attempts to keep reports brief and succinct.

The RMA also seeks to inform further developments to the form of Risk of Serious Harm assessment and Risk Management Plan within MAPPA. As part of the learning evaluation, we developed a method of quality assurance for local authorities to evaluate the quality of risk practice.

Case Manager Training

Building upon the successes of the fundamentals of risk practice training provision, and responding to an identified need, the RMA developed and implemented a new training course for OLR Case Managers. This course, developed in collaboration with the Scottish Prison Service, equips case managers with the requisite skills to submit robust risk management plans, co-ordinate the implementation of plans, and to complete annual implementation reports.

The course was launched in November 2018 and plans are now being made to expand its application during 2019-20. This will include consideration of the wider training needs of case managers across the sector.

> ### Publications

Standards & Guidelines for risk assessment report writing

The RMA first published Standards and Guidelines for Risk Assessment in 2006 and released an updated version in 2013. Over time it has become necessary to update the Standards and Guidelines to reflect changes and improvements to practice, and developments in the wider policy context; so in October 2018 the revised Standards and Guidelines for Risk Assessment Report Writing were published.

The revised standards were informed by a comprehensive review of international research literature and were reviewed by a range of experts, including leading Consultant Forensic Clinical Psychologist, and expert on risk formulation, Dr Caroline Logan.

Prior to publication, the RMA undertook a consultation exercise with stakeholder groups, which received an excellent response. Positive feedback included:

"We welcome the introduction of Standards and Guidelines for Risk Assessment Report Writing. We are of the opinion that this directive would promote uniformed and impartial approaches to risk assessment processes across Scotland."

"We felt that the summary was clear and that the flow chart in particular was very clear, helpful and useful for practitioners."

"The emphasis on formulation is very much welcomed."

A key change to the revised Standards is that they are built upon a Formulation-based approach to risk assessment: this places Formulation at the heart of risk assessment and as the crucial foundation upon which effective practice should be based.

The standards and guidelines are available to read and download from the RMA website www.rma.scot and can be accessed via the home page or the standards and guidelines tab. Within this section there are also links to a range of additional resources including the Risk Assessment Report template, help pages, and staff contact details.

Literature Review of the risk posed by internet offenders

The RMA was tasked with developing additional guidance
to enable practitioners to better assess the risk posed by internet offenders.
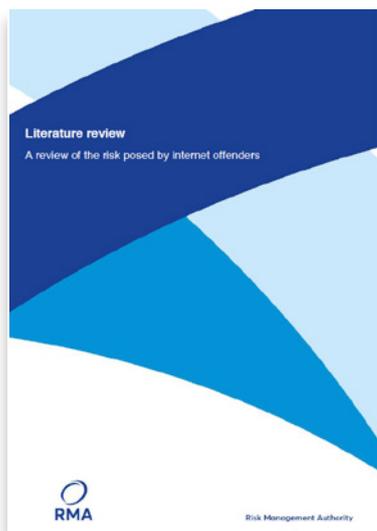
In November 2018 the RMA published *A Review of the Risk posed by Internet Offenders*, which provides a comprehensive examination of the current literature.

Internet offending in this context encompasses a range of different sexual offences facilitated by the internet. This includes possessing, exchanging, distributing and producing indecent images of children (IIOC), as well as soliciting children online for sexual purposes[2].

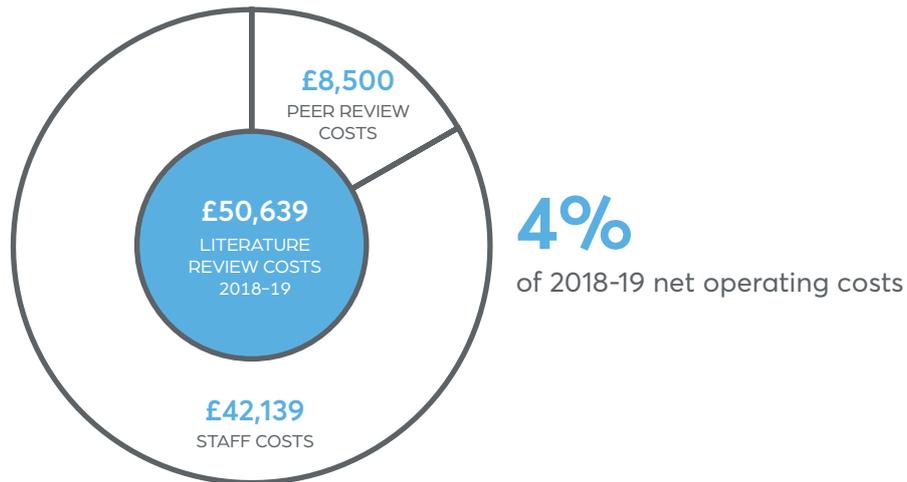All available studies from 1990-2018 were reviewed, of which 73 were included in the literature review.

The themes explored within the literature review were those pertinent to the risk assessment and management: typologies, profiles, characteristics and risk factors of internet offenders; risk assessment tools that may be used with this offending population; and offending patterns of internet offenders, including risk factors for them progressing onto contact offences against children.

The literature review provided a number of findings including:

– Internet offenders may present with characteristics from multiple typologies or none at all. This suggests that practitioners should not rely on typologies to guide their assessment and management of risk.

– Individuals engaging in internet offences possess distinct social and personality factors from other types of sex offenders.

– Practitioners should be mindful that the offending pathway of internet offenders takes different forms.

---

2. Definition provided in Seto, Michael. (2015) 'Internet-Facilitated Sexual Offending.' Sex Offender Management Assessment and Planning Initiative Research Brief. Access Here: www.smart.gov/pdfs/InternetFacilitatedSexualOffending.pdf

The literature review is available to download from the RMA's website www.rma.scot We hope that this publication proves to be a helpful resource for staff involved in the assessment of those convicted of internet offences.

£8,500
PEER REVIEW
COSTS

£50,639
LITERATURE
REVIEW COSTS
2018-19

£42,139
STAFF COSTS

4%
of 2018-19 net operating costs

It may also be of use to researchers in this field, as it highlights gaps in existing research and suggestions for future studies.

A practice model was drafted by the RMA using the recommendations of the literature review.

The first part of the model examines the pattern, nature and seriousness of offending. The second part involves the administration of risk assessment tools and scales to consider the risk of recidivism.

Phase 2 of the project will commence in 2019-20, focusing on further developing the practice model and the production of practice guidelines specifically designed for the Scottish context.

UK & International Engagement

Aus-RATED

Throughout 2018-19 the RMA worked in partnership with colleagues from Australia's Catalyst Consortium for Research Excellence in Reducing Persistent Violence and Sexual Offending. The Catalyst Consortium have developed a project to utilise the RMA's evaluation method and framework contained in RATED to produce an Australian adaption of the directory, focusing on studies relevant to Australian offending populations. Aus-RATED is scheduled for launch in late spring 2019.

RATED

The RMA provided assistance to the College of Policing in England and Wales, who wished to investigate use of the RMA's RATED directory and its validation processes to potentially inform national guidelines for assessing and managing risk. This work is ongoing and may lead to future collaborations to share approaches to risk assessment.

Icelandic Justice Services visit

In May 2018 the RMA were delighted to welcome staff from Iceland's Justice Services.

OxRec

In December 2018, the RMA entered into a data sharing agreement with the University of Oxford to assess the predictive performance of the Oxford Risk of Recidivism (OxRec) risk assessment tool.

The OxRec tool for predicting violent reoffending on release from prison was published in 2016, based on data from a Swedish cohort.
The objective of this year long study is to assess the predictive performance of OxRec using data from a Scottish cohort. Study findings will be disseminated within peer reviewed scientific journals, national conferences and publication on the RMA and University of Oxford websites.

LS/CMI Support

The Level of Service / Case Management Inventory (LS/CMI) is a general offending risk / needs assessment and management planning method. The RMA plays a key role in supporting its use throughout Scotland.

Working Groups

The RMA coordinates the LS/CMI Working Group, which brings together representatives from the RMA, Social Work Scotland, the Scottish Prison Service, Community Justice Scotland and the Scottish Government. Three meetings were held, in July 2018, October 2018 and January 2019. Through this group we coordinate the national change management process with over 100 mentors, to ensure requirements are identified, reviewed and implemented. This results in ongoing updates and changes being actioned to improve the assessment method and system.

We also contribute to the LS/CMI Change Control Forum and the short-life working group, with the later focusing on promoting consistent use of the method between prison, community and MAPPA.

Support

The RMA promotes the effective application and implementation of LS/CMI by providing comprehensive online guidance and delivering follow on sessions for staff based in prisons and local authorities. New content for LS/CMI practitioners was developed to coincide with the launch of the new RMA website in June 2018.

£96,462
LS/CMI SUPPORT
STAFF COSTS
2018-19

11%
of 2018-19 staff costs
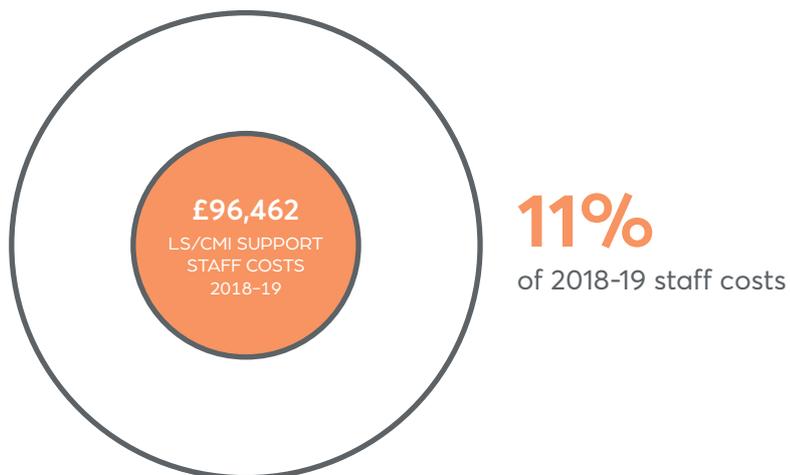
Follow up sessions on a variety of topics related to practice, team leader tasks and quality assurance matters were delivered throughout the year: we delivered thirteen support sessions to practitioners from across Scotland including North & South Lanarkshire, Shetland, East Ayrshire, Na h-Eileanan Siar, Dumfries & Galloway, Inverclyde and HMP Greenock.

IT Training and System

The RMA provides IT sessions for new users, system testing; and support to new software releases. During the year we trained four new delegates in the IT element of the LS/CMI training course. These delegates were from Highland, Moray and Orkney, therefore videoconferencing facilities were used (sessions were held in June 2018, Dec 2018 and Jan 2019). We assisted in the roll out of IT system updates, with Version 5.1 of the LS/CMI system successfully installed in all areas by NVT (central IT developers/support) in July 18.

RMA staff also published a Troubleshooting Guide in October 2018 to support practitioners. This guide provides advice and practical steps on common / non-technical issues that may occur within the LS/CMI system.

Evaluations

The RMA produced two evaluation reports in 2018-19: the *"In Practice Custodial Report"* was published in September 2018, providing a broad analysis of information on the use of the LS/CMI within custodial settings in Scotland. The *"In Practice Risk of Serious Harm Report"* was published in September 2018, providing a profile of individuals assessed within the community who met the criteria for further risk of serious harm assessment. This report drew upon aggregated data provided by Criminal Justice Social Work Services from across Scotland.

Helpdesk

Over the last year the RMA helpdesk has responded to a total of 370 queries (249 from community-based social workers and 121 from custodial workers).

The 2018 LS/CMI user satisfaction survey was circulated to 154 individuals via Survey Monkey. There were a total of 42 respondents (response rate of 27%). The survey sought to gather results on user satisfaction concerning speed of responses and quality of advice/guidance provided by the helpdesk (answered used a rating scale from very satisfied-very dissatisfied). The results found that:

• 100% of respondents were satisfied/very satisfied with the speed of the response to their enquiry

• 100% of respondents were satisfied/very satisfied with the advice/guidance provided to their enquiry

The survey also asked for suggestions on how the current helpdesk service could be improved. 13 respondents answered this question, with 8/13 respondents indicating they had no suggestions for improvement.

Communications Channels

The RMA website, twitter and mailing lists are the RMA's key means of communication with stakeholders and practitioners. The totals below illustrate the level of engagement achieved:
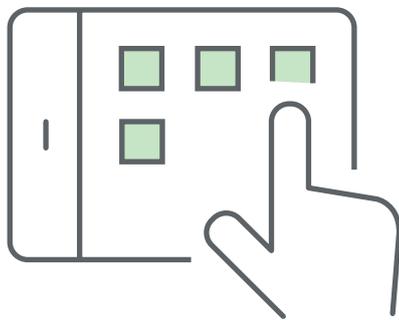
56,004
RMA website pages viewed

8,124
Visitors to the RMA website

82%
UK visitors
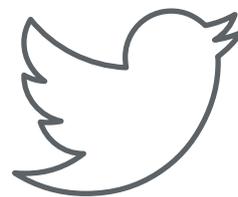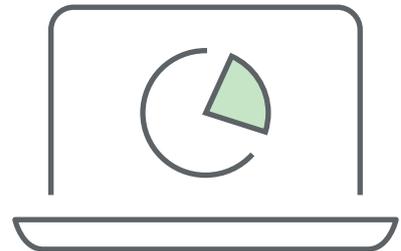
13%
Increase in Twitter followers in 2018-19

The RMA operates a Mailing List to notify subscribers of latest developments and content. In November 2018 the RMA issued a campaign to publicise the Internet Offending Literature Review: this campaign had a message open rate of 49.57% (27.3% above the industry average) which demonstrates the benefits of this communications channel to the RMA in its function to promote effective practice.

Key Performance Indicators

The RMA identified 4 key performance indicators (KPIs) to measure the effective delivery of our statutory functions.

Reviewing our results against these measures helps us to manage our resources and maintain the delivery of services to a high standard.

KPI		Target	Result
1	OLR Risk Management Plans approved in accordance with statutory 9 month timescale	100%	100%
2	OLR Annual Implementation Reports: completion of initial evaluations within 6 weeks of receipt	85%	71%
3	Fundamentals of Risk practice training: delegates agree this training adds value to their work	85%	95.8%
4	LS/CMI Helpdesk: user satisfaction levels on advice and guidance provided	85%	100%

Detail

1. Lead Authorities are required to submit a Risk Management Plan to the RMA for each OLR offender, within 9 months of sentencing. During 2018-19, the RMA supported Lead Authorities to achieve the approval of 100% of initial plans within the 9 month timescale.

2. Performance against this KPI was impacted by staff resource changes. The RMA has implemented a realignment of resources to ensure improved results against this target in 2019-20.

3. The RMA delivered Risk Practice training to Criminal Justice Social Workers and Police Offender Management Officers. Training evaluations showed that:

   – The material covered enhanced my knowledge and understanding of risk assessment and management practice: 97.5%

   – The course has equipped me to undertake an assessment of risk of serious harm and build a risk management plan: 97.5%

   – The skills I have learnt are relevant and easily transferable to my workplace: 85%

   – I would recommend this training to others: 92.5%

4. The RMA operated a helpdesk for LS/CMI practitioners, responding to 370 queries during 2018-19.

The Order for Lifelong Restriction

123
Annual Implementation Reports reviewed
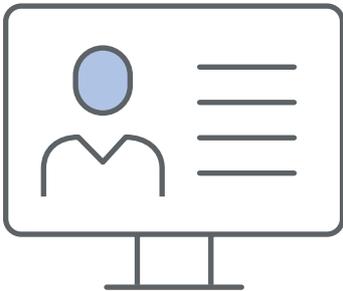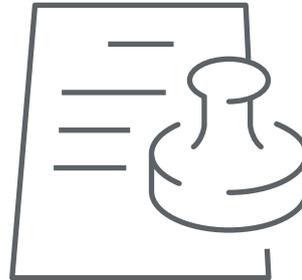
5
Assessors accredited
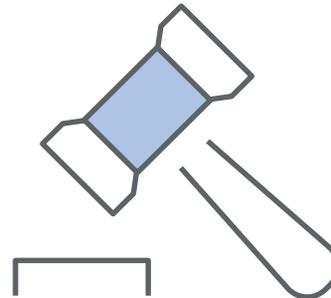
16
Orders for Lifelong Restriction issued
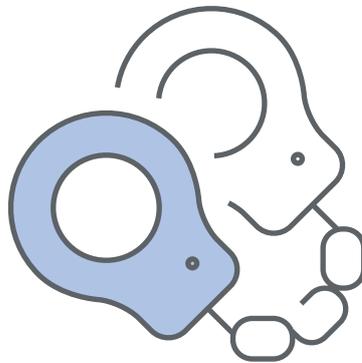
61%
of OLR population with expired punishment part

19
Risk Assessment Orders instructed

36
RMP's approved

£63,180
RMPS

£138,395
AIR REVIEWS

£300,857
OLR DELIVERY STAFF COSTS 2018-19

£24,068
GOVERNANCE

£12,034
ACCREDITATION

£63,180
EXTERNAL TRAINING
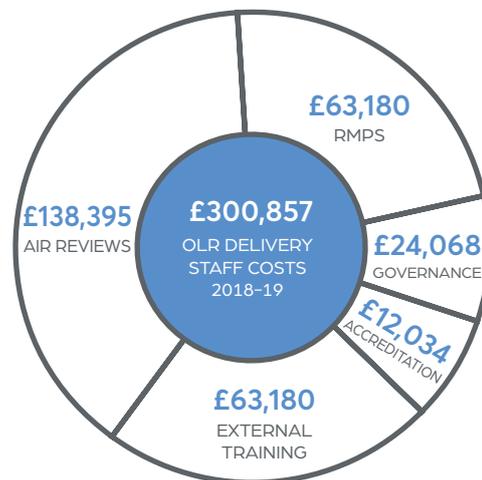
33%
of 2018-19 staff costs

The Order for Lifelong Restriction

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

There are many offences which may lead the High Court to seek an RAO and subsequently impose an OLR. Other than murder (where there is a mandatory life sentence) there are no exclusions to the offences that may be considered. Three specific categories are mentioned:

– Sexual offences;

– Violent offences; and

– Offences which endanger life

The RMA has a statutory function to approve Risk Management Plans (RMP) prepared by Lead Authorities for each individual sentenced to an OLR. Thereafter the RMA will receive and review annual reports on the implementation of approved RMPs for the duration of the sentence.

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 can be managed safely in the community. 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 OLR process is outlined in the flow chart overleaf.

Risk Assessment Report

19 Risk Assessment Order (RAO) instructed by the High Court

↓

High Court appointed assessor accredited by the RMA to undertake a Risk Assessment Report (RAR)

↓

RAOs not concluded in previous year carried forward → RAR produced (in accordance with RMA Standards & Guidelines) by accredited assessor and submitted to the High Court → RAOs not concluded carried forward

↓

Risk Management Plan

Order for Lifelong Restriction sentence imposed by the High Court?

↓ ↓

No **7**   Yes **16**

↓

Lead Authority produce Risk Managment Plan (RMP) for offender (in accordance with RMA Standards & Guidelines)

↓

RMP submitted for RMA approval

↓

No ← RMP approved by RMA?

↓   ↓

Guidance provided by RMA and revised RMP submitted by the lead Authority

↓

RMP approved by RMA? → Yes **37**

Annual Implementation Report

Annual Implementation Reports (AIR) reviewed by RMA **123** ← Annual Implementation Reports (AIR) submitted by Lead Authority to RMA for review **154**

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.

19

Risk Assessment Orders made
by the High Court in 2018-19

Since the inception of the legislation to 31 March 2019, the 259 Risk Assessment Orders made by the High Court have resulted in a total of 192 individuals being sentenced to an OLR; providing a conversion rate of 74%. The conversion rate for 2018-19 was 75%. At 31 March 2019 there are 180 active OLR cases.

180

Active OLR cases

16

Orders for Lifelong Restriction
imposed in 2018-19

Of the 180 OLR cases currently active, the punishment part has expired for 111 (62%).

Risk Management Plans

The Criminal Justice (Scotland) Act 2003 outlines the RMA's functions regarding OLR Risk Management Plans. Where the Court decided to imposed an OLR, the Lead Authority for that individual has a legislative responsibility to produce a Risk Management Plan (for approval by the RMA within 9 months of the OLR sentence being imposed). Legislation also requires that where the Lead Authority changes, or where the Lead Authority determines the current Risk Management Plan is, or is likely to become, unsuitable, an amended plan is to be prepared and submitted to the RMA for approval.

The purpose of the Risk Management Plan is to ensure that risk is properly managed on a multi-disciplinary basis. As such, Lead Authorities (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 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, 37 Risk Management Plans (RMP) were approved by the RMA. The 37 plans consisted of 10 initial RMPs, 26 amended RMPs and 1 revised amended RMP. Amended RMPs are plans developed following a significant change in the circumstances of the offender.

37
Risk Management Plans
approved in 2018-19

At 31 March 2019, the breakdown of individuals managed by Lead Authorities was:

– Scottish Ministers/SPS: 173

– NHS: 3

– Local Authorities: 3

– English prison service: 1

Annual Implementation Reporting

Legislation requires that Lead Authorities report annually to the RMA on their implementation of OLR Risk Management Plans. The legislation also provides the RMA with the power to issue a direction to a Lead Authority if it is considered to be failing to implement a plan. The RMA reports that no directions were issued in this year.

154 Annual Implementation Reports were submitted by Lead Authorities in 2018-19, of which 123 reports were reviewed by the RMA.

123
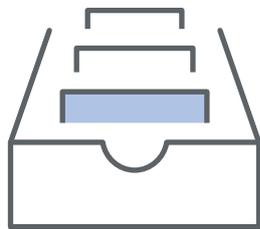
Annual Implementation Reports reviewed by the RMA in 2018-19

Accreditation

The accreditation of risk assessors by the RMA 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 while assessors are accredited by the RMA, they are commissioned directly by the High Court.

Accreditation Committee

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

– To decide whether an applicant has met the required competencies and standards to become an RMA risk assessor and to award accredited status if they have;

– To provide appropriate direction to RMA staff on the handling of an application for accreditation at all stages prior to a final decision on whether or not to accredit a person;

– To decide whether a manner has met the required criteria to become an RMA accredited manner and to award accredited status if it has;

– Oversee the development and review of any RMA Standards & Guidelines with regards to risk assessment and management, which Accredited Assessors must conform to.

During 2018-19 the RMA Accreditation Committee processed five applications for accreditation, with all five applications approved. The cohort of assessors available to undertake Risk Assessment Reports on behalf of the High Court is fourteen; this number of RMA Accredited Assessors is sufficient to meet the current demands of the High Court.

5

Applications for Accreditation approved in 2018-19

The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006 requires the RMA to consider complaints relating to either an accredited person or manner of assessing or minimising risk. The RMA processed one complaint in 2018-19, which was not upheld.

The RMA has legislative powers to accredit manners (methods) for the purposes of assessing and minimising risk.

There is currently one manner accredited by the RMA, which is used for the purposes of risk assessments conducted by Accredited Assessors under Section 210B and 210D of the Criminal procedure (Scotland) Act 1995 (as amended by the Criminal Justice (Scotland) Act 2003).

Risk Assessment Orders made
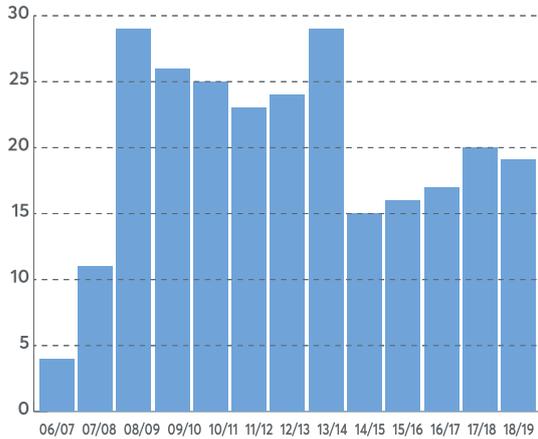
Order for Lifelong Restriction imposed
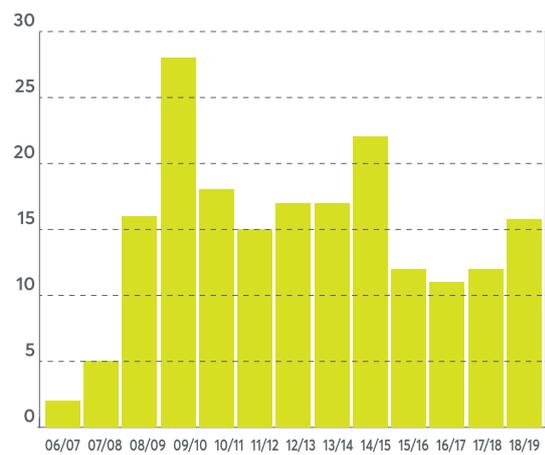
RAOs made and OLRs imposed

% of individuals with an OLR whose punishment part has expired

39% NOT EXPIRED

61% EXPIRED

RMPs approved and AIRs reviewed

RISK MANAGEMENT PLANS APPROVED BY THE RMA

ANNUAL IMPLEMENTATION REPORTS REVIEWED BY THE RMA
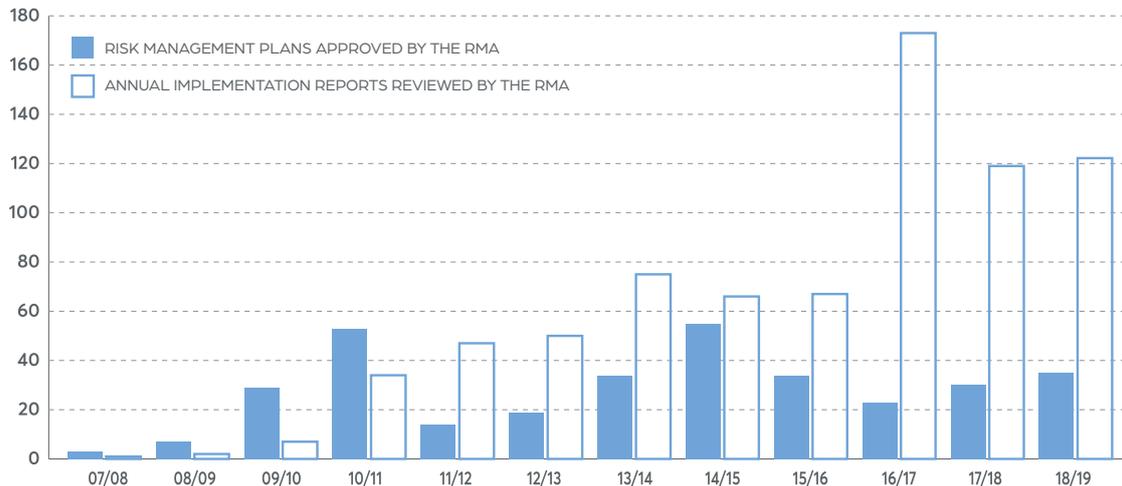
Financial Summary

The annual accounts report the financial results of the Risk Management Authority for the year 1 April 2018 to 31 March 2019.

They have been prepared in accordance with the Accounts Direction given by the Scottish Ministers subject to Section 12 (3) of the Criminal Justice (Scotland) Act 2003.

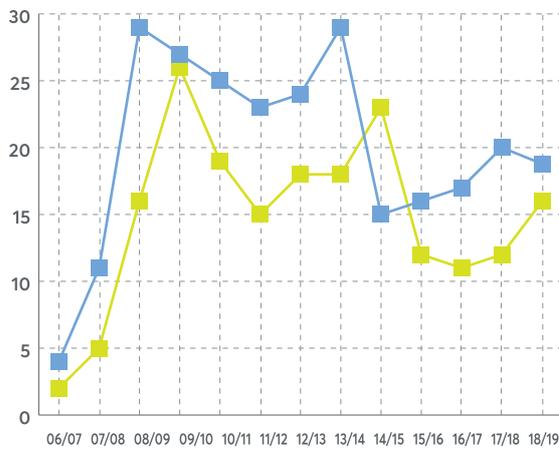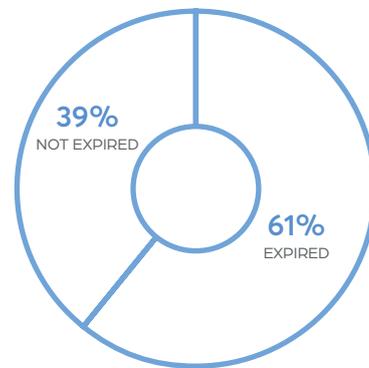The Risk Management Authority is financed through Grant-in-Aid from the Scottish Government Criminal Justice Directorate. The Scottish Ministers are answerable to the Scottish Parliament for the Risk Management Authority and are responsible for making financial provision to meet the Risk Management Authority's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

For this year the Risk Management Authority's total expenditure amounted to £1,200,000. Funding was provided by Scottish Government in the form of grant-in-aid (£1,073,000) with the balance of £120,000 funded from reserves.

	Funding £'000	Drawdown £'000
Resource DEL	1,074	1,073

All expenditure incurred during 2018-19 was within agreed budgetary provision.

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

Changes in Non-Current Assets

The Risk Management Authority acquired £68,000 in non-current assets during the year, which related primarily to the upgrade of IT equipment and a case management system.

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. Under the Equality Act 2010 Specific Duties (Scotland) Regulations 2012 and 2016, the Risk Management Authority reports on mainstreaming the equality duty, publishes equality outcomes and records progress.

In 2018-19 the Risk Management Authority produced Equality Impact Assessments for the following publications:

• Standards and Guidelines for risk assessment report writing

• Risk Assessment Tools Evaluation Directory

To enhance staff knowledge on equalities, in April 2018 the Risk Management Authority appointed a consultant to deliver equalities training and guidance on conducting equality impact assessments. The Risk Management Authority also arranged for an equalities input to be delivered to Accredited Assessors in October 2018.

Anti-Corruption and Anti-Bribery Matters

The Risk Management Authority Fraud policy incorporates bribery and corruption. The policy outlines methods for reducing opportunities for fraud and the process for reporting and responding to fraud.

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	£25,167
Public Relations	£7,377
Payments Exceeding £25,000: 　i) Abbeymill Business Centre – Office Rent: £46,020 　ii) Anderson Strathern – Legal Costs - £40,833 　iii) Scottish Government – IT & Internal Audit Services: £52,184	£139,037

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 91% of invoices received within the terms of the payment policy, compared with 86% 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 £45,189. Supplier payments outstanding at 31 March 2018 was £81,115. 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.

FOISA statistics for the period 1st of April 2018 to 31st of March 2019:

- 18 FOISA requests received (1 carried forward from 2017-18).

- 16 responses provided by RMA staff (2 carried forward to 2019-20)

- 1 request for review received.

- 2 appeals made to the Scottish Information Commissioner (SIC). One SIC decision reached, which found that the RMA had complied with FOISA. Remaining decision expected to be received in April 2019.

- All responses provided within the legislative 20 working day timescale.

Future Strategic Developments

The RMA Business Plan 2019-20 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.

Business Plan objectives to be taken forward in 2019-20:

Strategic Objectives:

- Development Project: Internet Offending
- Conduct review of RMA Research and Development strategy
- Development and implementation of an engagement strategy for Local Authorities

Operational Objectives:

- Development of OLR Research
- Publish updated version of the Risk Assessment Tools Evaluation Directory (RATED)
- Delivery of Risk Practice training
- Review of quality assurance method with LS/CMI practitioners
- Accreditation of risk assessors
- Approval of Risk Management Plans
- Delivery of Formulation and Risk Management Plan workshops
- Continuous improvement of the Multi Agency Risk Management Plan
- Measurement of Risk Practice Training outcomes
- Review annual implementation of Risk Management Plans

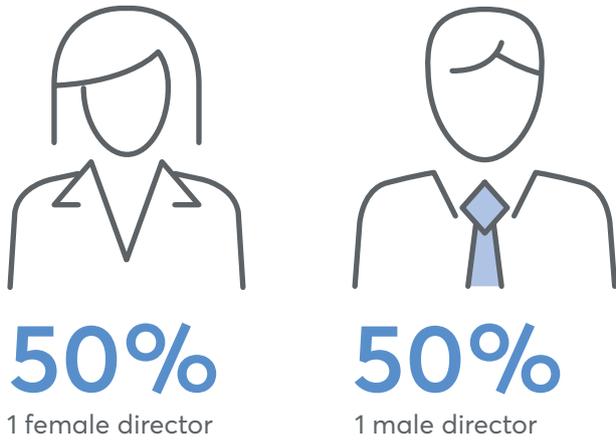A copy of the RMA Business Plan for 2019-20 is available to download from our website.

Yvonne Gailey
Chief Executive and Accountable Officer
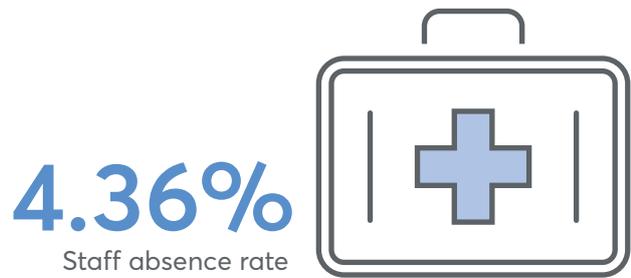17/06/2019

Accountability Report

Staff gender

61%
11 female staff

39%
7 male staff

50%
1 female director

50%
1 male director

Senior Management

4.36%
Staff absence rate

Board gender

38%
Female

62%
Male
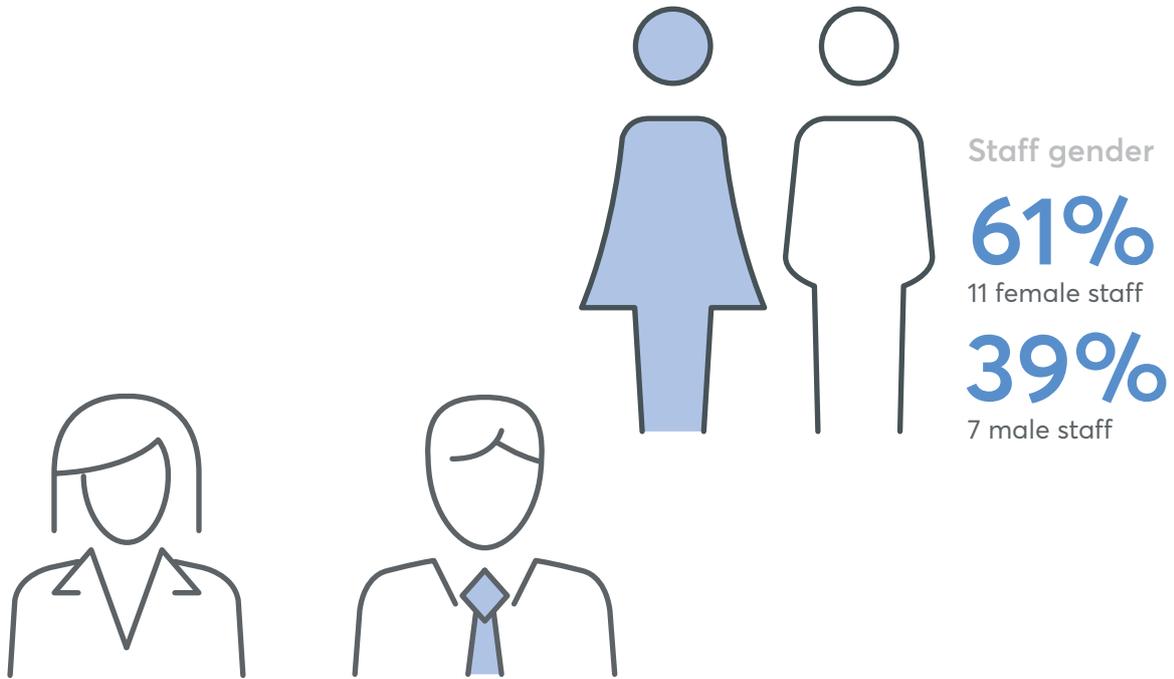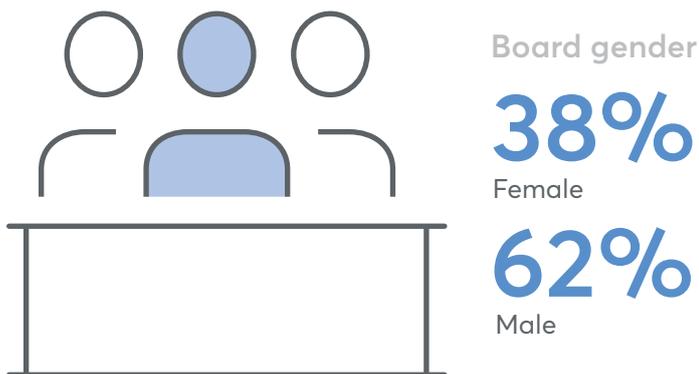
Corporate Governance Report / Director's Report

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.

The Board convened on 8 occasions during the financial year and comprised the following members:

Mr David Crawford (Convener)   Dr Aileen Burnett

Mr Stephen Swan   Mr Chris Hawkes

Ms Jane Davey   Mr Terence Powell

Ms Michele Gilluley   Mr Stephen McAllister

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 relating to the accreditation of assessors and manners of assessment. The Accreditation Committee was chaired by Ms Jane Davey. The Committee convened on four occasions over the course of the year during which the Committee accredited five 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) Audit & Assurance 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

iv) 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 pay related matters.

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, as set out in the Framework Document with the Scottish Government and the Statement of Accountable Officer's Responsibilities within the accounts.

ii) Director Corporate Services

The Director Corporate Services, Mr Paul Keoghan was appointed on 26 January 2009. In supporting governance arrangements the Director Corporate Services 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: https://www.rma.scot/resource/board-committee/

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 Managemevnt 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, Audit & Assurance Committee and Remuneration Committee.

During the reporting period the Board convened on eight 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 external 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 & Assurance 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 & Assurance Committee and Board.

Risk Management is embedded into corporate processes with the risk register reviewed regularly and reported to the Audit & Assurance 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 which 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 & Assurance 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 & Assurance 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 Accreditation, Audit and Remuneration.

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 & Assurance Committee;

• Internal Audit provided substantial assurance on risk management, control and governance arrangements;

• action plans are in place to correct any weaknesses identified by internal audit and these are monitored by the Audit & Assurance Committee;

• certificates of assurance provided by the Director of Corporate Services; Head of Delivery; Head of Development 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;

• publication of best value self-assessment document.

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 ends on 31 March 2021.

The Convener and Board Members are paid a daily fee rate which is set by the Scottish Ministers. Board Member fees 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 David Crawford, Mr Stephen Swan, Mr Chris Hawkes and Ms Jane Davey. 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 Corporate Services.

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 assesses 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 2018-19, the key terms of the policy included:

i) Cost of increase in basic pay limited to 2%

ii) Cost of pay scale progression, where applicable, limited to 1.5%

iii) A commitment to no compulsory redundancy

iv) Payments under performance related pay suspended

The Chief Executive salary was subject to review in 2018-19 resulting in an additional 2% increase.

Director Corporate Services Remuneration Policy

The remuneration of the Director Corporate Services is set by the Board. The Board agree salary ranges for the Director and annual pay awards are dependent upon performance. The Director Corporate Services, 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 is governed by a two year pay policy covering 2018-19 and 2019-20, the key terms of the policy included:

i) Cost of increase in basic pay limited to 2%

ii) Pay scale progression, where applicable, can be awarded

iii) A commitment to no compulsory redundancy

iv) Payments under performance related pay suspended

The Director's salary was subject to review in 2018-19 resulting in an additional 3.1% increase.

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	2018-19 £'000	2017-18 £'000
Mr David Crawford, Convener	5-10	5-10
Dr Aileen Burnett, Board Member	1-5	5-10
Ms Jane Davey, Board Member	1-5	5-10
Mr Terence Powell, Board Member	1-5	5-10
Mr Stephen Swan, Board Member	1-5	5-10
Mr Chris Hawkes, Board Member	1-5	5-10
Ms Michele Gilluley, Board Member (joined 1 November 2018)	1-5	-
Mr Stephen McAllister, Board Member (joined 1 November 2018)	1-5	-
Prof Hazel Kemshall, Board Member (until 28 February 2018)	-	5-10
Dr Katharine Russell, Board Member (until 31 March 2018)	-	5-10

ii) Performance Related Pay

Performance pay or bonuses are disclosed separately from salaries and relate to the year in which they become payable. The value of payments made under performance related pay for the reporting period was nil.

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.

Director	Salary £'000		Benefit in kind (nearest £100)		Pension benefits (nearest £1000)		Total £'000	
	2018-19	2017-18	2018-19	2017-18	2018-19	2017-18	2018-19	2017-18
Ms Yvonne Gailey	75-80	70-75	-	-	29	18	105-110	90-95
Mr Paul Keoghan	65-70	60-65	-	-	26	25	90-95	85-90

iv) Compensation on early retirement or for loss of life*

The value of payments made under compensation on early retirement or for loss of life 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 2018-19 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.

Director	Accrued pension at pension age as at 31/03/2019	Real Increase in pension and related lump sum at pension age	CETV at 31/03/2019	CETV at 31/03/2018	Real increase in CETV
	£'000	£'000	£'000	£'000	£'000
Ms Yvonne Gailey	15 - 20	0 - 2.5	324	279	29
Mr Paul Keoghan	15 – 20	0 – 2.5	200	159	14

Staff Report

This report covers all staff employed by the Risk Management Authority, including directors and board members. Key information in relation to this cost includes:

i) Staff Costs*

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

Authority Members	2018-19 £'000	2017-18 £'000
Salary	31	53
Social Security Costs	-	2
Total Authority Members	**31**	**55**

Administrative staff	2018-19 £'000	2017-18 £'000
Wages and Salaries	666	627
Social Security Costs	71	65
Pension Costs	136	128
Total administrative Staff	**873**	**820**
Total Staff Costs	**904**	**875**

Average number of employees during the year	No.	No.
Authority Members	7	8
Staff	18	18

ii) Staff Numbers*

Fixed term staff account for 14% of the total workforce. The chart below provides analysis of staff by engagement type.

Staff Number	
Number of Permanent Staff	15.9
Number of Fixed Term Staff	2.5
Total Number of Staff Employed	18.4

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	6	6.0	10	10.4
Total	7	7.0	11	11.4

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. 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 previous year.

Top to Median Staff Pay Multiples	2018-19	2017-18
Band of Highest Paid Director's Total Remuneration £'000	75-80	70-75
Median Total Remuneration £	31,898	29,403
Ratio (%)	2.4	2.5
Range of Staff Remuneration £'000	20-80	19-75

v) Sickness Absence Data

During the year the RMA's rate of absence increased.

Sickness Absence Data	2018-19	2017-18
Total Number of days absence due to sickness	208	176
Absence Rate (%)	4.4	3.9

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	–

vii) 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.

viii) 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.

ix) Exit packages

The value of exit packages in the reporting period was nil.

x) Other Diversity, Health and Safety at Work and Trade Union relationship

The Risk Management Authority's Health and Safety policy aim is to provide a safe working environment for staff, visitors and others. All activities should be carried out with the highest regard for Health and Safety of all staff, visitors and others who may be affected by our undertaking. We will act positively to ensure compliance with The Health and Safety at Work Act 1974 and other associated legislation, guidance or standards.

The Risk Management Authority has a trade union recognition agreement with PCS which governs all staff.

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 2018-19 accounts were at a cost of £7,010 (£6,870 in 2017-18) 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.

Remote Contingent Liabilities

The Risk Management Authority had no contingent liabilities in the financial year.

Yvonne Gailey
Chief Executive and Accountable Officer
17/06/2019

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

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 (RMA) for the year ended 31 March 2019 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 accounts 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 2018/19 Government Financial Reporting Manual (the 2018/19 FReM).

In my opinion the accompanying financial statements:

- give a true and fair view in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers of the state of the body's affairs as at 31 March 2019 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 2018/19 FReM; and

- have been prepared in accordance with the requirements of the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers.

Basis for opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing (UK) (ISAs (UK)), as required by the Code of Audit Practice approved by the Auditor General for Scotland. 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 was appointed by the Auditor General on 28 January 2019. The period of total uninterrupted appointment is three years. 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 Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. Non-audit services prohibited by the Ethical Standard were not provided to the body. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Conclusions relating to going concern basis of accounting

I have nothing to report in respect of the following matters in relation to which the

ISAs (UK) require me to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or

- the body has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about its ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

Risks of material misstatement

I have reported in a separate Annual Audit Report, which is available from the Audit Scotland website the most significant assessed risks of material misstatement that I identified and my conclusions thereon.

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.

In preparing the financial statements, the Accountable Officer is responsible for assessing the body's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain 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) 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.

The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, intentional omissions, misrepresentations, or the override of internal control. The capability of the audit to detect fraud and other irregularities depends on factors such as the skilfulness of the perpetrator, the frequency and extent of manipulation, the degree of collusion involved, the relative size of individual amounts manipulated, and the seniority of those individuals involved. I therefore design and perform audit procedures which respond to the assessed risks of material misstatement due to fraud.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website www.frc.org.uk/auditorsresponsibilities. This description forms part of my auditor's report.

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, the audited part of the Remuneration and Staff Report, 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, my responsibility is to read all the other information in the annual report and accounts and, in doing so, consider whether the other information is materially inconsistent with the financial statements or my knowledge obtained in the audit or otherwise appears to be materially misstated. If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact. I have nothing to report in this regard.

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 matters prescribed by the Auditor General for Scotland

In my opinion, the audited part of the Remuneration and Staff Report has been properly prepared in accordance with the Criminal Justice (Scotland) Act 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 (Scotland) Act 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 (Scotland) Act 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 audited 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.

Conclusions on wider scope responsibilities

In addition to my responsibilities for the annual report and accounts, my conclusions on the wider scope responsibilities specified in the Code of Audit Practice are set out in my Annual Audit Report.

Use of my report

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, I do not undertake to have responsibilities to members or officers, in their individual capacities, or to third parties.

James Rundell
Audit Scotland
4th Floor, Athenaeum Building
8 Nelson Mandela Place
Glasgow G2 1BT
17/06/2019

Financial Statements

Statement of Comprehensive Net Expenditure

For the year ended 31 March 2019

	Notes	2018-19 £'000	2017-18 £'000
Expenditure			
Staff costs	2	904	875
Other admin costs	3	296	235
Net operating costs		**1,200**	**1,110**

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 2019

	Notes	2018-19 £'000	2017-18 £'000
Non-current assets			
Property, plant and equipment	4	17	5
Intangible assets	5	45	-
Total non-current assets		*62*	*5*
Current Assets			
Trade and other receivables	7	8	9
Cash and cash equivalents	8	237	370
Total current assets		*245*	*379*
Total assets		**307**	**384**
Current liabilities			
Trade and other liabilities	9	196	146
Total current liabilities		*196*	*146*
Total assets less current liabilities		**111**	**238**
Net Assets		**111**	**238**
Taxpayers Equity			
General Fund – Unallocated		111	238
Total taxpayers equity	SOCTE	**111**	**238**

The annual accounts report the results of the Risk Management Authority for the year 1 April 2018 to 31 March 2019. The following notes form part of these accounts which 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
17/06/2019

Statement of Cash Flows

For the year ended 31 March 2019	Notes	2018-19 £'000	2017-18 £'000
Cash flows from operating activities			
Net operating cost	SoCNE	(1,200)	(1,110)
Adjustments for non-cash transactions			
Depreciation	4,5	11	18
Movements in working capital			
(Increase)/decrease in trade and other receivables	7	1	2
Increase/(decrease) in trade and other payables	9	50	(119)
Release of Provision	10	-	(60)
Net cash outflow from operating activities		**(1,138)**	**(1,269)**
Cash flows from investing activities			
Purchase of Property, Plant and Equipment	4,5	(68)	(1)
Net cash outflow from investing activities		**(68)**	**(1)**
Cash flows from financing activities			
Scottish Government Grant	SOCTE	1,073	946
Net cash flow from financing		1,073	946
Net increase/(decrease) in cash and cash equivalents		**(133)**	**(324)**
Cash and cash equivalents at beginning of period	8	370	694
Cash and cash equivalents at end of period	8	237	370
Net change in cash and cash equivalents		**(133)**	**(324)**

Statement of Changes in Taxpayers' Equity

For the year ended 31 March 2019

General Fund	Notes	2018-19 £'000	2017-18 £'000
Balance at 1 April		**238**	**402**
Net operating cost for the year	SoCNE	(1,200)	(1,110)
Net funding		1,073	946
Balance at 31 March	SOFP	**111**	**238**

Notes to the Accounts

For the year ended 31 March 2019

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 2019 have been brought into account irrespective of when actual payments were made.

(e) Payables

All material amounts outstanding at 31 March 2019 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) PCSPS 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. A copy of the actuarial report can be found at https://www.civilservicepensionscheme.org.uk/about-us/scheme-valuations/. Furhter details can also be found in the resource accounts of the Cabinet Office at www.civilservicepensionscheme.org.uk/about-us/resource-accounts

During the year ended 31 March 2019, the Risk Management Authority paid an employer's contribution of £136k (£128k in 2018) into the PCSPS at rates between 20.0 per cent and 24.5 per cent of pensionable pay (20.0 per cent to 22.1 per cent in 2018). The Risk Management Authority has been informed that contributions in 2019/20 will be at rates between 26.6 per cent and 30.3 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 2019 ranged from 3.8% to 7.35%.

(j) Effective for future financial years

All International Financial Reporting Standards (IFRS), interpretations and amendments effective at 31 March 2019 have been adopted in these statements.

There is are a number of IFRSs, amendments and interpretations that have been issued by the International Accounting Standards Board that are effective for future reporting periods. None are relevant to the Risk Management Authority.

(k) 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 2018/19 were £904,417 (2017/18: £875,061). Further analysis of these costs are shown within the Accountability Report on page 63.

3. Other Administrative Costs

	2018-19	2017-18
	£'000	£'000
Accommodation	64	66
Office equipment and furniture	2	1
Research and consultancy	34	12
IT Support	44	51
Training	13	7
Legal Fees & Expenses	45	37
Supplies & Services	27	16
Stationery	1	2
Catering and Hospitality	1	2
Expenses and Travel	6	12
Other Office Costs	26	18
Internal Audit Fee	5	7
External Audit Fee	7	7
Depreciation	11	18
Conferences	10	11
Dilapidation Provision	-	(32)
Total	**296**	**235**

4. Property, plant and equipment

	Equipment £'000	Information Technology £'000	Furniture & Fittings £'000	Total £'000
Cost				
Balance at 1 April 2018	32	73	70	175
Additions	-	23	-	23
Disposals / Write-downs	-	-	-	-
Balance at 31 March 2019	**32**	**96**	**70**	**198**
Depreciation				
Balance at 1 April 2018	**32**	**70**	**68**	**170**
Charge for year	-	10	1	11
Disposals	-	-	-	-
Balance at 31 March 2019	**32**	**80**	**69**	**181**
NBV at 31 March 2019	**-**	**16**	**1**	**17**
NBV at 31 March 2018	-	3	2	5
Analysis of asset financing				
Owned	-	16	1	17
Finance leased	-	-	-	-
NBV at 31 March 2019	**-**	**16**	**1**	**17**

Prior year	Equipment £'000	Information Technology £'000	Furniture & Fittings £'000	Total £'000
Cost				
Balance at 1 April 2017	32	72	70	174
Additions	-	1	-	1
Disposals / Write-downs	-	-	-	-
Balance at 31 March 2018	**32**	**73**	**70**	**175**
Depreciation				
Balance at 1 April 2017	**32**	**64**	**56**	**152**
Charge for year	-	6	12	18
Disposals	-	-	-	-
Balance at 31 March 2018	**32**	**70**	**68**	**170**
NBV at 31 March 2018	**-**	**3**	**2**	**5**
NBV at 31 March 2017	-	8	14	22
Analysis of asset financing				
Owned	-	3	2	5
Finance leased	-	-	-	-
NBV at 31 March 2018	**-**	**3**	**2**	**5**

5. Intangible Assets

	Asset Under Construction	Software £'000	Total £'000
Cost			
Balance at 1 April 2018	-	106	106
Additions	45	-	45
Disposals	-	(97)	(97)
Balance at 31 March 2019	45	9	54
Depreciation			
Balance at 1 April 2018	-	106	106
Charge for year	-	-	-
Disposals	-	(97)	(97)
Balance at 31 March 2019	-	9	9
NBV at 31 March 2019	45	-	45
NBV at 31 March 2018	-	-	-

Prior year	Software £'000	Total £'000
Cost		
Balance at 1 April 2017	106	106
Additions	-	-
Disposals	-	-
Balance at 31 March 2018	106	106
Depreciation		
Balance at 1 April 2017	106	106
Charge for year	-	-
Disposals	-	-
Balance at 31 March 2018	106	106
NBV at 31 March 2018	-	-
NBV at 31 March 2017	-	-

6. 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.

7. Trade and other receivables

	2018-19 £'000	2017-18 £'000
Amounts falling due within one year:		
Other receivables – Central Government	-	-
Other receivables – External	8	9
Other receivables – Other Government Bodies	-	-
Total receivable within 1 year	**8**	**9**

8. Cash and cash equivalents

	2018-19 £'000	2017-18 £'000
Balance at 1 April	**370**	**694**
Net change in cash and cash equivalent balances	(133)	(324)
Balance at 31 March	**237**	**370**
The following balances at 31 March were held at:		
Government Banking Service and cash in hand	230	365
Corporate cash account	7	5
Balance at 31 March	**237**	**370**

9. Trade and other payables

	2018-19 £'000	2017-18 £'000
Amounts falling due within one year:		
Trade Creditors – Central Government	37	78
Trade Creditors – External	8	3
Accruals and deferred income – Central Government	42	42
Accruals and deferred income – External	104	18
Accruals and deferred income – Other Government Bodies	5	5
Total due within one year	**196**	**146**

10. 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. A provision was established in 2014 with costs settled in 2017-18 and provision released.

	2018-19 £'000	2017-18 £'000
Balance at 1 April	-	60
Utilised in year	-	(28)
Unused amount reversed	-	(32)
Balance at 31 March	**-**	**-**

11. Related Party Transactions

The Scottish Government Justice Department is the sponsor department of the Risk Management Authority. The Scottish Government Justice Department is regarded as a related party with which there have been various material transactions during the year. None of the Authority members or key managerial staff has undertaken any material transactions with the Risk Management Authority during the year.

12. Commitments under leases

The total value of commitments under operating leases is £30,680.

Obligations under operating leases comprise:	31 Mar 2019 £'000	31 Mar 2018 £'000
Buildings:		
Not later than one year	31	46
Later than one year and not later than five years	-	31
Later than five years	**-**	**-**

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

13. Segment Reporting

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

14. Capital Commitments and Contingent Liabilities

The Risk Management Authority has assets under construction valued at £45,000 which relates to the development of a case management system.

RISK MANAGEMENT AUTHORITY

DIRECTION BY THE SCOTTISH MINISTERS

1. The Scottish Ministers, in pursuance of Section 12(3) of the Criminal Justice (Scotland) Act 2003, hereby give the following direction in respect of the duty set out in Section 13 of the Criminal Justice (Scotland) Act 2003.

2. The statement of accounts for the financial year ended 31 March 2006, and subsequent years, shall comply with the accounting principles and disclosure requirements of the edition of the Government Financial Reporting Manual (FReM) which is in force for the year for which the statement of accounts are prepared.

3. The accounts shall be prepared so as to give a true and fair view of the income and expenditure and cash flows for the financial year, and of the state of affairs as at the end of the financial year.

4. Additional disclosure requirements regarding the financial period ended 31 March 2005 are set out in Schedule 1 attached.

5. This direction shall be reproduced as an appendix to the statement of accounts.

A member of the staff of the Scottish Ministers

Dated   10 February 2006

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.

RMA Statutory Functions

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.

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 Training[3]

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.

---

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

Glossary

Acronym	Full Term	Definition
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	The FRAME policy outlined the agreed guiding principles, standards and values that will underpin risk practice in Scotland. This adopted the principles of proportionality, rights and evidence based practice to guide defensible and ethical risk assessment and management.
HMICS	Her Majesty's Inspectorate of Constabulary in Scotland	HMICS is a public body of the Scottish Government and reports to the Scottish Parliament. It has statutory responsibility for the inspection of the effectiveness and efficiency of the police service in Scotland.
LS/CMI	Level of Service / Case Management Inventory	A general offending risk/ needs assessment and management planning method.
MAPPA	Multi Agency Public Protection Arrangements	Multi Agency Public Protection Arrangements (MAPPA) is the framework which joins up the agencies who manage offenders. The fundamental purpose of MAPPA is public safety and the reduction of serious harm.
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.
RATED	Risk Assessment Tools Evaluation Directory	RMA-developed directory of risk assessment tools.
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.

Risk Management Authority

RMA