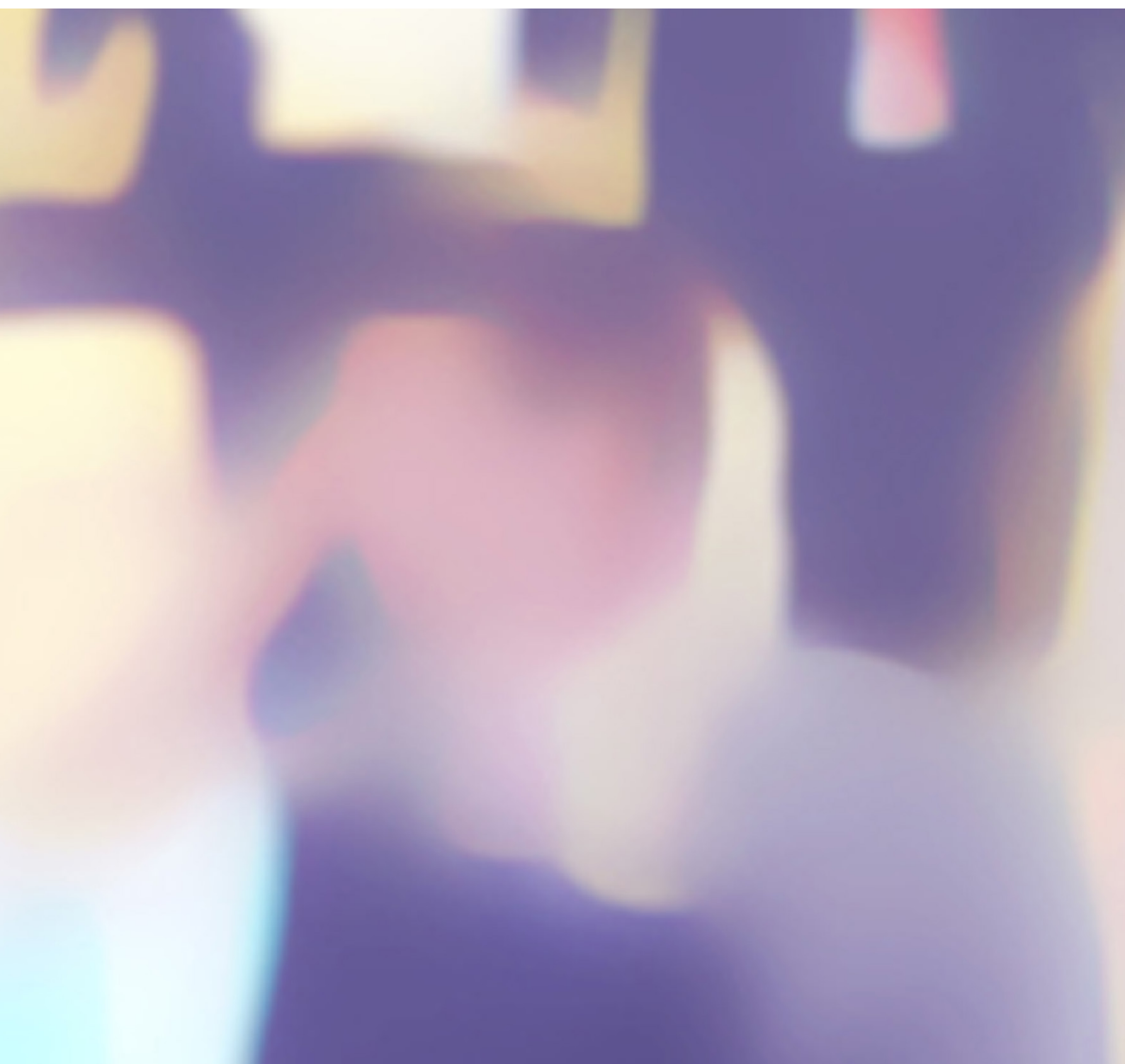


# ANNUAL REPORT & ACCOUNTS

2021-2022



**WE WORK TO MAKE SCOTLAND SAFE BY  
REDUCING THE RISK OF SERIOUS HARM**



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Laid before the Scottish Parliament by the Scottish Ministers under Section 12(2)  
of the Criminal Justice (Scotland) Act 2003. Ref: SG/2022/79



**I AM GRATEFUL TO ALL OUR STAFF AND  
TO THOSE IN OUR PARTNER AGENCIES  
WHO HAVE CONTINUED TO SHOW  
DEDICATION AND FLEXIBILITY**

DAVID CRAWFORD, CONVENER



## CONVENER'S FOREWORD

I am delighted to present the Annual Report and Accounts for the Risk Management Authority (RMA) for the financial year 2021-22.

When the financial year commenced, we might have expected that the year would have seen a progressive return to pre-COVID working arrangements. We anticipated a return to physical rather than virtual Board meetings and the return of staff to office-based working for most of their working week. In the event we saw a pattern of restrictions being eased and then having to be strengthened again. This was frustrating both for the Board and the officers of the RMA but reflected the national picture and, we have been able to discharge all our responsibilities in a timely and appropriate manner. I am grateful to all our staff and to those in our partner agencies who have continued to show the dedication and flexibility necessary to ensure the continuity of service despite the most challenging of circumstances.

The Board and the two key committees (Audit and Accreditation) met regularly throughout the year and two new Board members joined us in May 2021. Dr Joe Judge is a clinical psychologist and Jim Farish is a recently retired prison governor. The addition of these new members keeps the Board at its full complement and further strengthens the range of skills and experience within our ranks.

As in previous years, the expenditure of the RMA for the year 2021-22 is within the agreed budget and the long-established pattern of the number of Orders for Lifelong Restriction (OLR) gradually increasing through the year has continued at a pace similar to that in previous years. While the range of areas of work that the RMA contributes to continues to grow, the heart of our work remains the discharging of our statutory responsibilities around Risk Assessment Reports and Orders for Lifelong Restriction.

This focus has been maintained throughout the COVID-19 period and, as we look to develop our Business Plan for the next year and beyond, the Board of the RMA will continue to ensure that scrutiny of the performance of our basic statutory duties continues to be a central priority.

In December 2021, the Board had the opportunity to meet with the Cabinet Secretary for Justice and Veterans, Keith Brown, to discuss a range of matters of mutual interest. We are extremely grateful to him for taking the time to meet with us and look forward to continuing our discussions in the coming year. I trust that you find the annual report helpful and find that it fairly reflects the work of the Risk Management Authority in the last year.

*David Crawford*

**David Crawford**  
RMA Board Convener



## **DURING THE YEAR WE HAVE WELCOMED DISCUSSIONS WITH A NUMBER OF JURISDICTIONS WHO ARE INTERESTED IN THE ROLE OF THE RMA AND OUR WORK**

MARK MCSHERRY, CHIEF EXECUTIVE



## **CHIEF EXECUTIVE'S COMMENTARY**

This year we enjoyed the chance to meet in person and reconnect with each other. The impact of COVID has continued to be a challenge and we have adapted our response continuously.

I am grateful to our team who have continued to deliver our work in protecting the public and taking forward our long-term plans for change in the justice system.

Our Development team have been completing research to better understand the offending profiles of those who are subject to the Order for Lifelong Restriction (OLR). The OLR team have been undertaking qualitative research with those who have been released, to understand the barriers and opportunities for safe reintegration back into communities.

Our Effective Practice team responded to the Scottish Government's consultation on the use of bail and release from custody. We are ready to use the evidence of what works in the assessment and management of those who pose a risk of serious harm to inform these changes to the use of custody in Scotland.

In the last Scottish Crime and Justice Survey, more than 90% of people believed that prisons should help prisoners change and should work with community organisations to help prisoners fit back into their communities.[1] A recent inspection of throughcare services found "the management of risk was a significant strength and effective partnership working made an important contribution to public protection." [2]

We will continue to work directly with justice agencies to make improvements to make sure public safety is a priority.

A concerning development this year has been the increased number of rejected Risk Management Plans and guidance being issued. We will continue to work with the Scottish Prison Service on the necessary action to ensure that these standards are met.

At the request of the Cabinet Secretary for Justice and Veterans, we are co-ordinating the review of closed cases that may have been impacted by the issue identified within the IT system used for justice social work. I would like to thank the thousands of justice social workers, prison, parole and MAPPA staff for all their efforts in responding to the review.

During the year we have also welcomed discussions with a number of jurisdictions who are interested in the role of the RMA and our work. I look forward to working with them to build on our achievements. I hope you enjoy reading about our work.

**Mark McSherry**  
Chief Executive

1 Scottish Crime and Justice Survey 2019/20: Main Findings ([www.gov.scot](http://www.gov.scot))  
2 Community justice social work: Throughcare Review ([careinspectorate.com](http://careinspectorate.com))



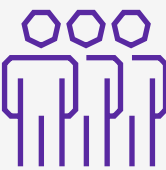
2021-22 IN NUMBERS



217↑

ACTIVE ORDER FOR LIFELONG RESTRICTION SENTENCES

The OLR became available to the high court in 2006. As of 31 March 2022, the number of active Order for Lifelong Restriction (OLR) sentences totals 217. This is a 6% increase on 2020-21.



25↑

STAFF MEMBERS

Introducing the new role of OLR Team Manager, the RMA team increased by one. Fixed term staff account for 1.4% of the total workforce.



5↑

NEW ACCREDITED ASSESSORS

RMA Accredited Assessors play a vital role in the Scottish justice system. In 2021-22 we opened the accreditation process for new applicants. We are pleased to welcome five experienced and qualified risk assessors to the cohort.



£1.6m

OPERATIONAL COSTS

The RMA is wholly funded through Grant-in-Aid. Scottish Ministers are answerable to the Scottish Parliament for RMA and responsible for making financial provision.



10%↑

WEBSITE USERS

We are pleased to report a 10% increase in website users from 15,059 in 2020-21 to 16,576 in 2021-22.

↑ Indicates an increase when compared to 2020-21



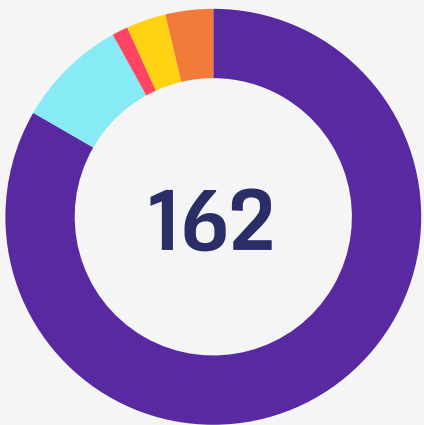
RISK ASSESSMENT REPORTS OUTCOME

In 2021-22, 28 Risk Assessment Orders (RAO) were made by the high court. Accredited Assessors completed Risk Assessment Reports (RAR) to inform the court of the risk posed by the individual.

- MEDIUM RISK  
4 Individuals (14%)
- HIGH RISK  
23 Individuals (82%)

Note: The RAO and RAR outcomes reported on here are not necessarily reflective of the conversion to Orders for Lifelong Restriction imposed in 2021-22.

Note: There is one Risk Assessment Report from 2021-22 yet to be submitted to the RMA and as such the risk level opinion is not available to be reported on.



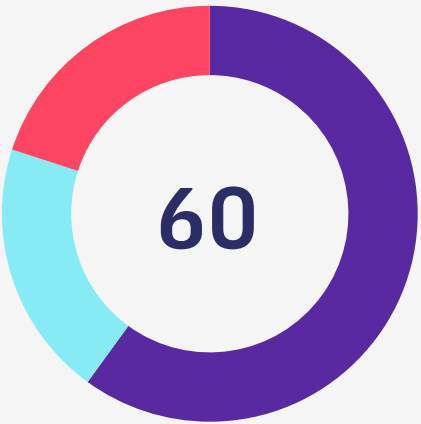
ACTIVE OLR PAST PUNISHMENT PART EXPIRY DATE (PPE)

The punishment part is the minimum time an individual sentenced to an OLR must spend in custody. The sentence is risk based; these individuals continue to present an unacceptable risk to the public and therefore remain in custody past their punishment part expiry date.

- PRISON (CLOSED)  
135 Individuals (83%)
- PRISON (NATIONAL TOP END)  
14 Individuals (9%)
- OPEN ESTATE  
2 Individuals (1%)
- COMMUNITY  
5 Individuals (3%)
- NHS CARE SETTINGS  
6 Individuals (4%)

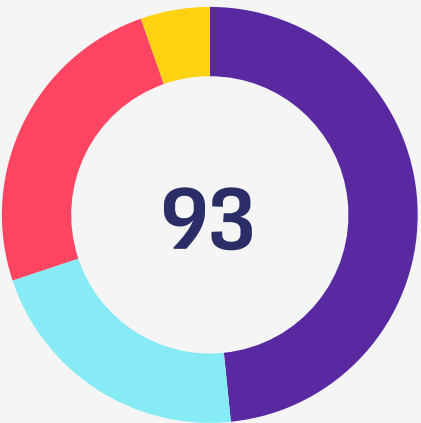
Note: This figure is only reflective of PPE and does not account for prisoners who may still be in custody, not just because they have not progressed through 'the system' but because they have post-OLR sentence convictions which will further increase the length of time they require to stay in custody and are not currently eligible for release in any event, regardless of PPE.





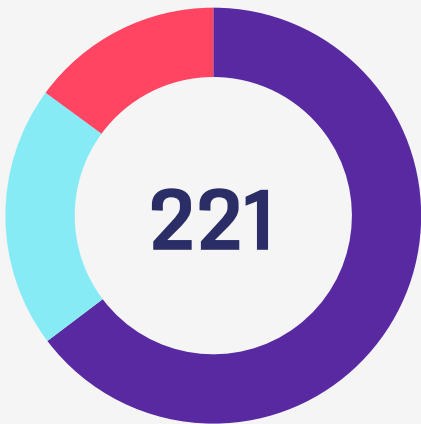
**RISK MANAGEMENT PLANS EVALUATED**  
In 2021-22, 64 Risk Management Plans (RMP) were submitted to the RMA, 51% less than 2020-21. The team have completed evaluation of 60 RMP, with one Plan being escalated for further Quality Assurance. Ten Plans were carried over into 2022-23.

- APPROVED WITH GUIDANCE  
36 RMP (60%)
- APPROVED WITHOUT GUIDANCE  
12 RMP (20%)
- REJECTED  
12 RMP (20%)



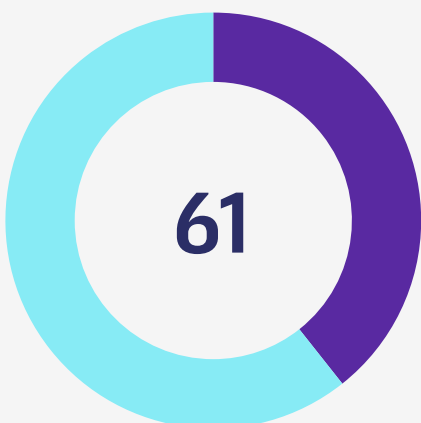
**ANNUAL IMPLEMENTATION REPORTS GUIDANCE ISSUED**  
The team received 183 Annual Implementation Reports (AIR) in 2021-22, a 4% increase on 2020-21. 175 AIRs have been successfully evaluated, with five carried over into 2022-23. Guidance was issued on 93 AIR.

- GUIDANCE ISSUED ON IMPLEMENTATION  
45 AIR (48%)
- GUIDANCE ISSUED ON PREPARATION AND REVIEW  
20 AIR (22%)
- GUIDANCE ISSUED ON IMPLEMENTATION, PREPARATION AND REVIEW  
23 AIR (25%)
- CONCLUDED FAILURE TO IMPLEMENT  
5 AIR (5%)



**LS/CMI HELPDESK QUERIES**  
The Effective Practice team support the use of the Level of Service / Case Management Inventory (LS/CMI) system in Scotland by running the helpdesk and responding to needs. In 2021-22, 221 queries were received via the helpdesk.

- LS/CMI RELATED (COMMUNITY BASED)  
143 Queries (65%)
- LS/CMI RELATED (PRISON BASED)  
45 Queries (20%)
- NOT LS/CMI RELATED  
33 Queries (15%)



**RMA TRAINING**  
We deliver specialised training in Scotland to support effective practice in risk assessment and management. In 2021-22 we ran two Social Work courses and three Police Risk Practice Training courses.

- SOCIAL WORK  
24 Individuals (39%)
- POLICE  
37 Individuals (61%)



THE RMA WAS ESTABLISHED BY THE  
CRIMINAL JUSTICE (SCOTLAND) ACT 2003  
TO PROTECT THE PEOPLE OF SCOTLAND



PERFORMANCE REPORT

ABOUT THE RMA

We work to ensure that effective risk assessment and management practices are in place, to reduce the risk of serious harm posed by violent and sexual offending. At the root of our work is our purpose, which is to reduce the risk of serious harm and make Scotland safer.

WHAT WE DO



Standards and Guidelines

As a national authority of risk assessment and risk management, we have a legislative responsibility to prepare and issue guidelines; and set and publish standards to support the assessment and minimisation of risk posed by individuals who offend. The standards and guidelines, **published in three documents**, promote consistent, evidence-based, and proportionate risk assessment and management in Scotland.



OLR

We have specific responsibilities in relation to the Order for Lifelong Restriction sentence. Our duties include the evaluation of Risk Management Plans and Annual Implementation Reports, and the accreditation of qualified risk assessors to complete Risk Assessment Reports for the high court.



Policy and Research

We respond to Scottish Government policy consultations and provide advice, guidance and recommendations where appropriate to Scottish Ministers in relation to risk assessment and management. We carry out and publish research to advocate for an ethical and evidence-based approach to risk, and support defensible decision-making in Scotland's justice system.



Education and Training

Learning and development is a prominent element of our work to support effective practice. We respond to the needs of the justice sector in Scotland and provide specialised training programmes on risk assessment and management.

*"Thought the trainers were excellent, really knowledgeable and kept the training interesting!"*

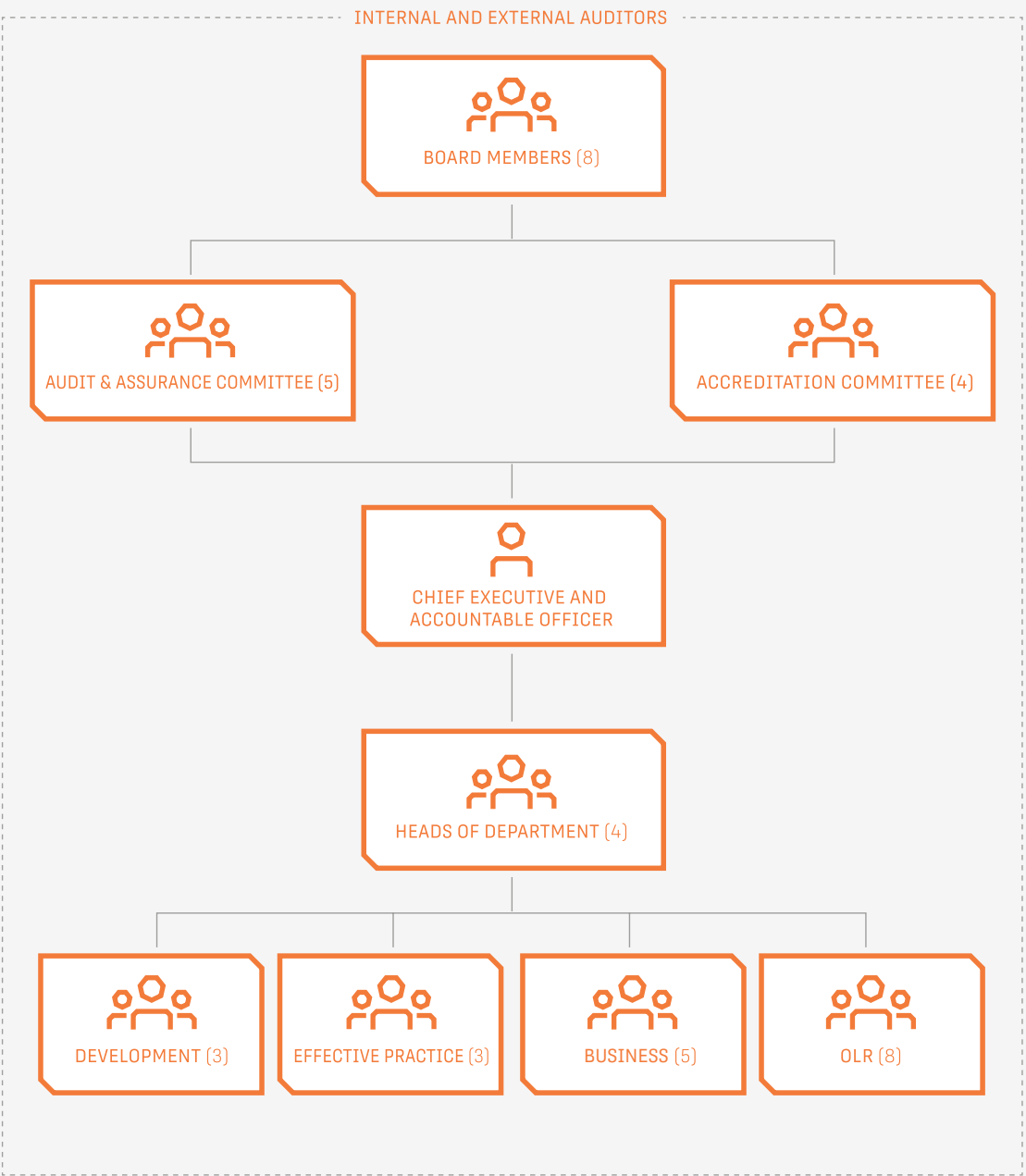
- Risk Practice Training Attendees, 2021



CORPORATE STRUCTURE

The RMA is an independent, non-departmental public body of the Scottish Government. Our Sponsor Unit is based within the Community Justice Division. The RMA is led by Chief Executive and Accountable Officer, Mark McSherry. Mark provides operational leadership to the RMA and ensures the Board’s aims and objectives are met, the RMA’s functions are delivered, and targets are met. As Accountable Officer, Mark is personally answerable to the Scottish Parliament for the RMA.

Our [Sponsorship Framework](#) is available on our website.



THE RMA IS STRUCTURED INTO FOUR DEPARTMENTS, EACH WITH A SENIOR MANAGER.



DEVELOPMENT

The Development team undertake and publish impactful and meaningful research that ensures our standards and guidelines remain evidence-based. The team are responsible for the development of our specialised education and training, and keep RMA standards and guidelines under review to make sure that current risk assessment and management is in line with the latest research.



EFFECTIVE PRACTICE

The Effective Practice team monitor proposed changes to legislation and procedure, assessing impact, making recommendations to the Scottish Government and, where appropriate, other agencies. The team also lead on implementing training and supporting the application of a range of risk assessment and management tools.



BUSINESS

The Business team are responsible for finance, governance, human resources and administrative support including IT and estate management. The team ensure the work of the RMA represents good value for money and is supported with engaging events and effective communication.



ORDER FOR LIFELONG RESTRICTION (OLR)

The OLR team provide oversight and evaluation of all statutory requirements associated with the assessment and management of individuals subject to an Order for Lifelong Restriction (OLR). In addition, the team provide expert OLR advice and support and promote best practice in risk assessment and risk management.

[Find out more about the RMA team on our website.](#)





## NATIONAL PERFORMANCE FRAMEWORK

The Scottish Government's [National Performance Framework \(NPF\)](#) aims to create a safer and more successful country for everyone. The work of the RMA directly contributes to NPF National Outcomes and support the delivery of the Scottish Government's [Vision for Justice in Scotland](#).



## NATIONAL OUTCOMES

We work with our justice partners to contribute to the Scottish Government's National Outcomes:



### We live in communities that are inclusive, empowered, resilient and safe

We advocate for effective risk assessment and risk management practices. Our work in administrating and overseeing the Order for Lifelong Restriction sentence contributes to reducing the risk of serious harm to the public, and safer communities in Scotland.



### We are well educated, skilled and able to contribute to society

Our specialist, high-quality training courses aim to improve practitioner knowledge and understanding of risk assessment and risk management. In 2021-22 we successfully accredited and inducted five new qualified Risk Assessors to complete Risk Assessment Reports for the high court.



### We respect, protect and fulfil human rights and live free from discrimination

Our [Framework for Risk Assessment, Management and Evaluation \(FRAME\)](#) outlines the national agreed values for Scotland. It proposed a proportionate and evidence-based approach to risk, and a commitment to human worth, dignity, transparency and fairness, and social justice and inclusion.



### We are open, connected and make a positive contribution internationally

A unique organisation in the UK, we are committed to sharing research, knowledge and understanding around risk assessment and management with our national and international justice partners. In 2021-22 we have worked with agencies including the Australian Government's Independent National Security Legislation Monitor (INSLM).



VISION FOR JUSTICE IN SCOTLAND



**Aim 1: We have a society in which people feel, and are, safer in their communities**

We continue to oversee the approval of individualised Risk Management Plans (RMP) for individuals with an Order for Lifelong Restriction (OLR). Effective risk management contributes directly to reducing crime and creating safer communities. Our specialist training courses for Justice Social Workers and Police Offender Managers will continue to increase knowledge and understanding of risk and improve practice, in turn supporting safer communities.



**Aim 3: We have effective, modern and person-centred approaches to justice in which everyone can have trust, including as victims, those accused of crimes and as individuals in civil disputes**

Risk Management Plans and Annual Implementation Reports are subject to scrutiny from the RMA; the approval and implementation of these plans can provide assurance that everyone can have trust in our justice services.



**Aim 4: We support rehabilitation, use custody only where there is no alternative and work to reduce reoffending and revictimisation**

In 2021-22 we launched a pilot of our framework to assess the risk posed by individuals convicted of internet offences. The pilot takes place across eight local authorities in Scotland. The framework implementation will support the use of custody when there is a risk of serious harm.

Our response to the Scottish Government Bail and Release from Custody Consultation outlined our advice and guidance, underpinned by the Framework for Risk Assessment, Management and Evaluation (FRAME). Effective risk assessment and risk management practice supports individuals to remain in our communities and to safely integrate.

This year we worked closely with Her Majesty's Inspectorate of Prisons for Scotland (HMIPS) to support a thematic review of progression in custody. Our involvement supports the use of custody where there is a risk of serious harm. Similarly, we have been working with the Scottish Prison Service (SPS) to develop a framework to provide quality assurance of First Grant of Temporary Release (FGTR) applications.

**WE WORK WITH OUR PARTNERS  
TO DELIVER OUR STRATEGIC AIMS,  
CONTRIBUTING TO THE SCOTTISH  
GOVERNMENT'S NATIONAL OUTCOMES  
AND A SAFER COUNTRY FOR EVERYONE**



# AREAS OF WORK

## THE OLR SENTENCE

The Order for Lifelong Restriction (OLR) is a unique sentence, providing for lifelong management of individuals who engage in violent and sexual offending behaviour. Available only to the high courts in Scotland, the sentence is designed to protect the public from the risk of serious harm.

It may be given where an individual commits a violent or sexual offence which causes serious physical or psychological harm, or otherwise endangers the life of a victim. It can also be given where the court considers, based on thorough assessment, that the individual could commit such violence in the future. Find out more about the process of imposing an OLR sentence [on our website](#).

At the RMA we have specific legislative responsibilities in relation to the administration of the OLR, and we have a duty to increase understanding of the sentence and how it works. In 2021-22, this duty has been a focus for the RMA team as we have undertaken a series of research projects:

### THE OFFENDING BEHAVIOUR OF THOSE SENTENCED TO THE ORDER FOR LIFELONG RESTRICTION

A unique sentence, there is relatively little known about the population of individuals who have been made subject to the OLR. The RMA have undertaken a project to develop and publish a series of research studies to improve understanding of the sentence and individuals subject to it. The studies include an exploration of offending behaviour, psychopathy, personality disorder and victim characteristics.

In 2020-21 the RMA developed a detailed data set on the OLR population, and in 2021-22 the team began to analyse this significant set of data. The first study examines the offending behaviour characteristics of those subject to the OLR, including the pattern and nature of offending, by examining index and previous offending, allegations, and behaviour in custody. This report, titled 'The Offending Behaviour of Those Sentenced to the Order for Lifelong Restriction' will be published in 2022-23.



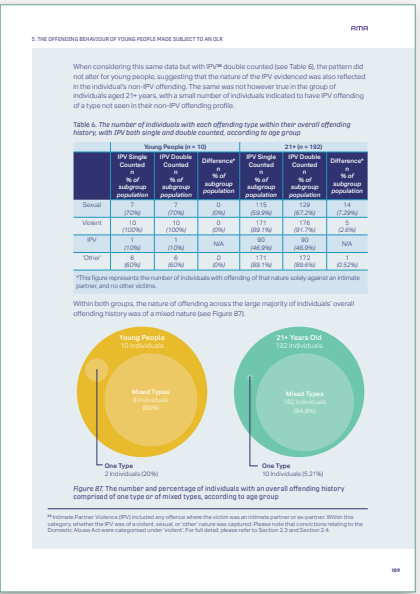
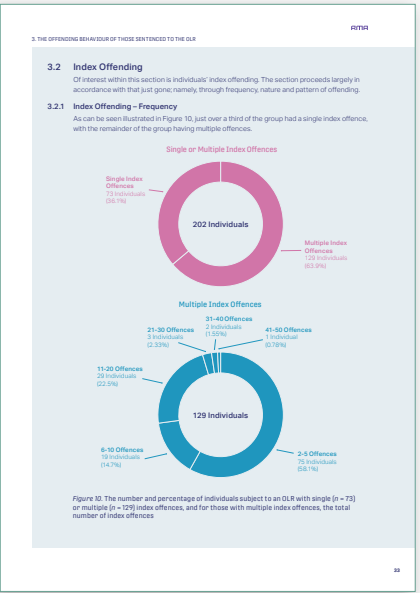
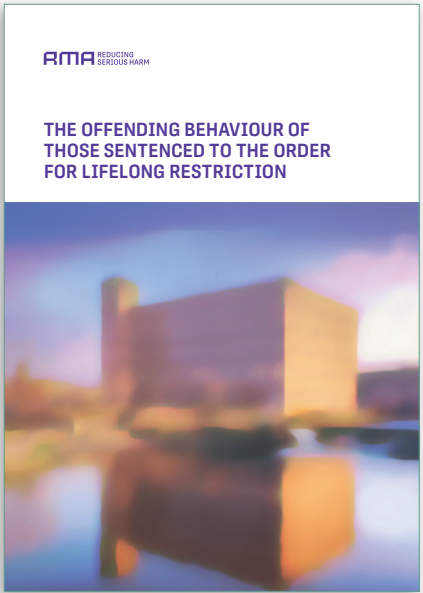
202

**INDIVIDUALS**  
The report examines the offending behaviour of 202 individuals who are subject to the Order for Lifelong Restriction.

*“Our intention with this study is to present a detailed examination of the offending behaviour of those sentenced to an OLR. We look forward to publishing this work and engaging with those interested in the OLR regarding the findings.*

*The report is comprehensive and will include analysis across the whole population as well as analysis of a number of subgroups like intimate partner violence offending, young people, and more. We plan to engage with key stakeholders on the findings and to host a series of online events which will be available to those with an interest.”*

– Geoff Tordzro-Taylor, Head of Development





**AN EXPLORATION OF INDIVIDUAL EXPERIENCES OF RELEASE AND RECALL ON THE OLR.**

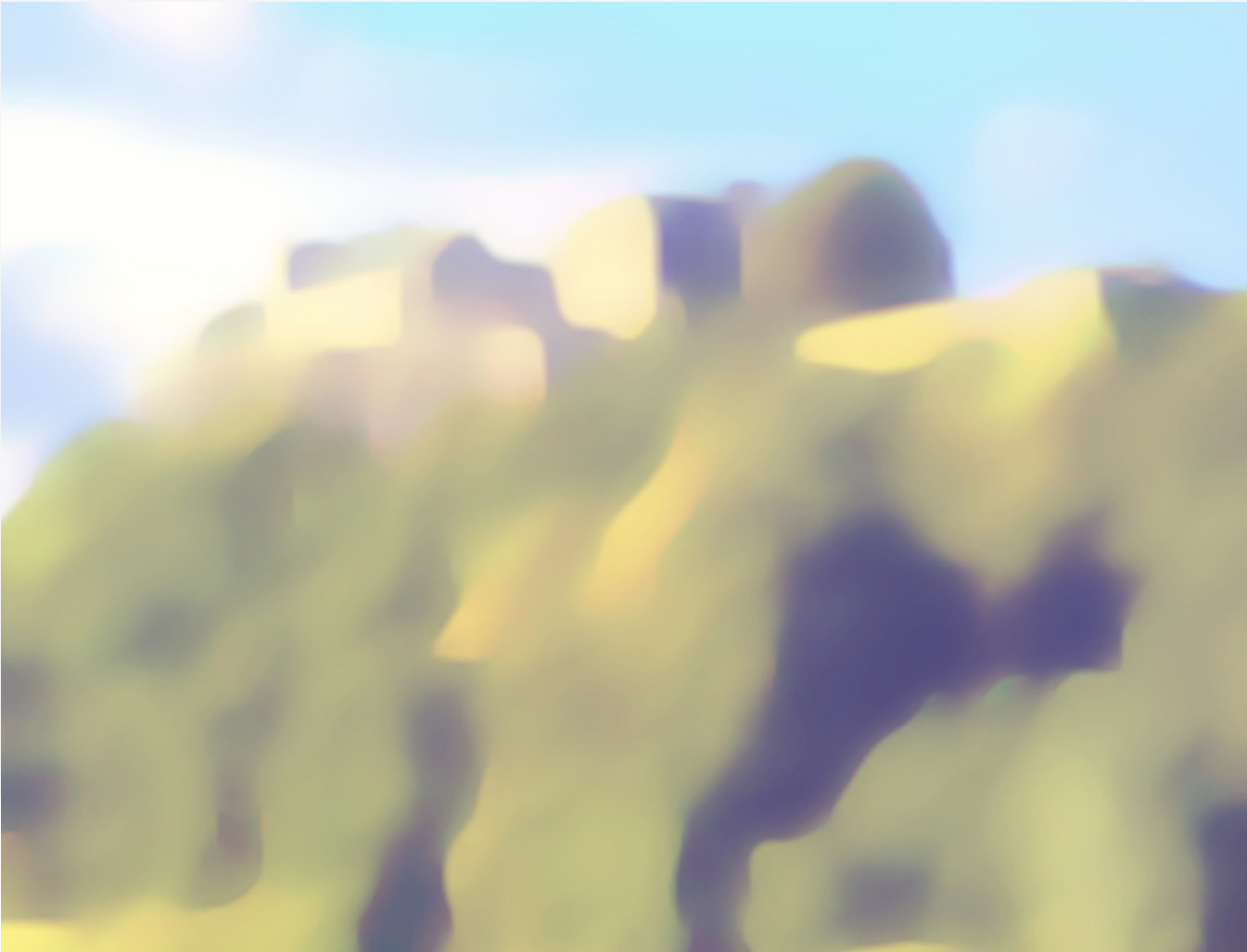
The OLR sentence is designed to support effective management of individuals in custody and in the community. Where an individual has demonstrated that their risk is manageable in community settings, they may be released from custody by the Parole Board for Scotland. This research explores their experience from the point of sentencing, through their prison journey, to return to community living. The project also considers those who have been recalled to custody following release.

This research project will address a gap in current research and explore the support available to individuals with an OLR who are released into the community. The research questions include:

- *What are the experiences of transitioning from prison to the community while on an OLR?*
- *How do individuals feel about supports that are provided while on an OLR (including any interventions)?*
- *What are the key experiences of being recalled while on an OLR?*

The findings will support ongoing discussions with Scottish Ministers around the OLR sentence. It is hoped the research will identify and inform areas in which the day-to-day management of individuals with an OLR, both in custody and in the community, can be improved to better support progression and reduce the risk of serious harm.

The project includes a review of relevant literature and a high level of engagement with justice partners, including local authorities and the Scottish Prison Service. In 2021-22 we gained ethics approval from all internal and external stakeholders to interview individuals subject to an OLR who have been released from custody (including those subsequently recalled to custody).



The team began data collection in Autumn 2021 and received a positive response from individuals subject to the OLR who were keen to share their experiences. We expect to publish this report in 2022-23.



8

**INTERVIEWS**

With the support of Case Managers in custody and in the community, we conducted a total of 8 interviews – 5 in the community and 3 in custody.

*“This research will provide a valuable insight into individuals’ experiences of the OLR sentence. I believe that it’s important for justice services to understand the experiences of individuals subject to the OLR to support consideration of how we improve the implementation of the sentence and support individuals to progress back into the community when it is safe for them to do so.”*

- Debbie Campbell, Head of OLR

**ACCREDITATION**

At the RMA we have a legislative duty to administer and oversee the OLR sentence; this includes accrediting qualified risk assessors to carry out Risk Assessment Reports (RAR) for the high court.

In 2020-21 we completed a review of our existing accreditation process and previous development work. This review has informed a revised process, implemented in 2021-22, that provides for the successful and defensible accreditation of suitable persons. As part of the Accreditation review, the RMA have employed significant resources to develop and implement a new Risk Assessment Report (RAR) quality assurance process to ensure consistency in quality of reports prepared for the high court.

Our accreditation process is designed to be as supportive and facilitative as possible. The new scheme of accreditation includes a series of procedures to support the accreditation committee in ensuring a consistent approach to dealing with issues including complaints and quality issues.

The RMA only open the application process if it is anticipated that further assessors are required to meet the needs of the high court; in October 2021 we began to promote that the scheme of accreditation was to open for new applicants in 2022.



5

**NEW ASSESSORS**

We are pleased to have nine individuals proceed to the interview stage for this highly complex, specialised role, and five new assessor have been successfully accredited. [Read more about them on our blog.](#)

*“Being an independent practitioner provides many opportunities for a diverse range of work and being an assessor is one of the most fulfilling of them all.”*

- Rachel Roper, Accredited Assessor



ACCREDITED ASSESSORS

- ACCREDITED IN 21-22 FOR A FURTHER PERIOD OF ACCREDITATION  
5 Individuals
- NEW ACCREDITED ASSESSORS  
5 Individuals
- EXISTING ACCREDITATION  
7 Individuals

*“Following a very successful recruitment campaign, we are pleased to welcome five new assessors. These individuals are highly skilled and experienced in risk assessment and will play a vital role in the Scottish justice system through the accredited assessor role. I am confident that the accredited assessors, both new and existing, will provide a high-quality service to the high court to support decision making around the OLR sentence.”*

- Debbie Campbell, Head of OLR

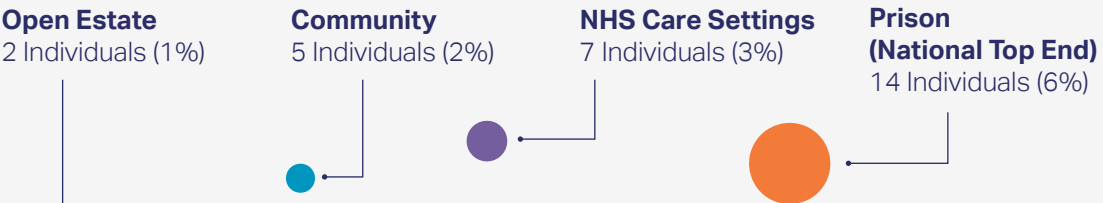
OLR IN NUMBERS

217

TOTAL ACTIVE ORDER FOR LIFELONG RESTRICTION

The OLR is designed to protect the public from the risk of serious harm. A unique risk-based sentence, the OLR provides for lifelong management of individuals who engage in violent and sexual offending behaviour. As of 31 March 2022, there are 217 active individuals in Scotland subject to the OLR.

Location of Active OLR



In 2021-22 one individual subject to an Order for Lifelong Restriction was recalled to custody.



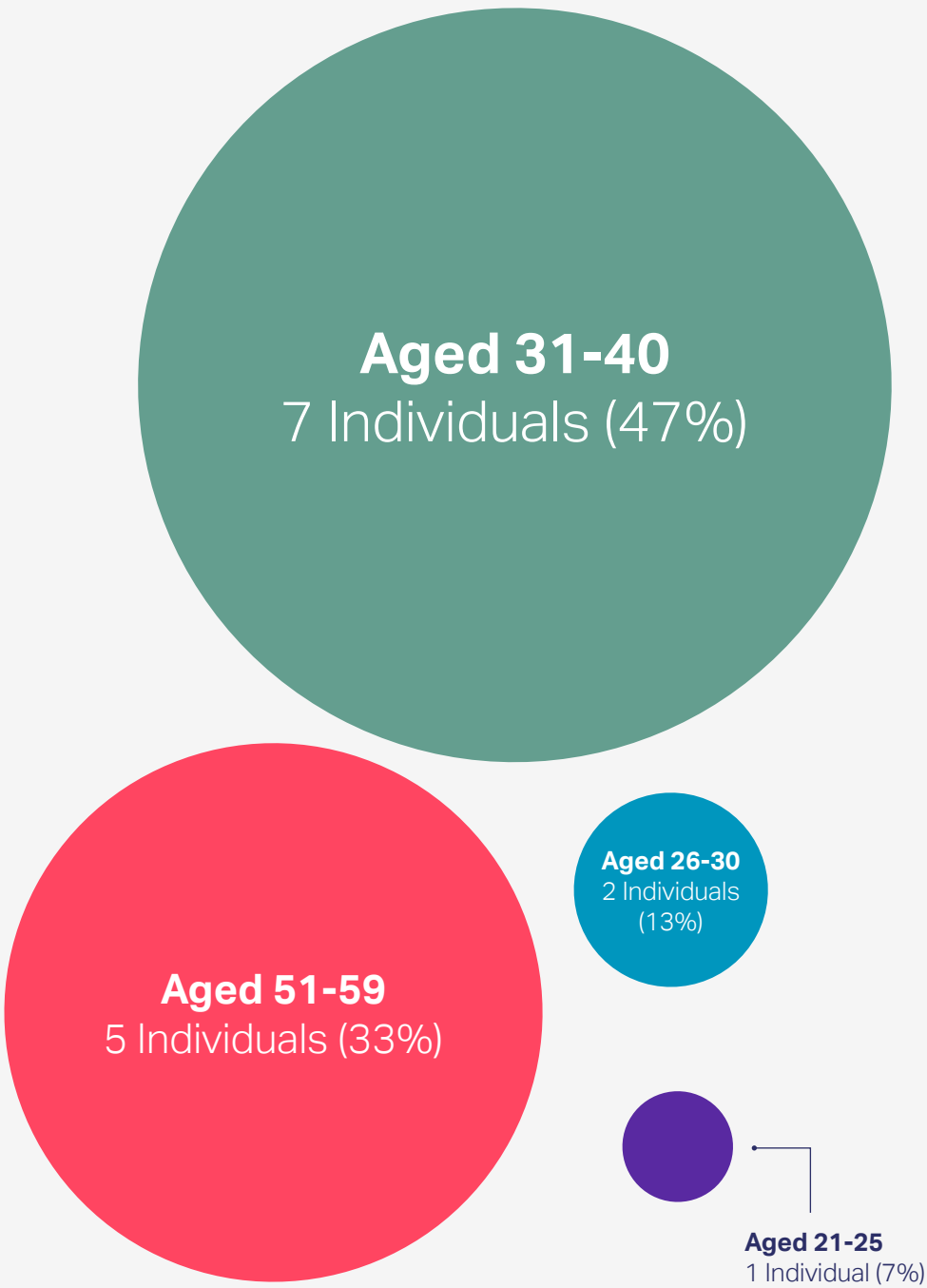
15

ORDER FOR LIFELONG RESTRICTION IMPOSED IN 2021-22

In 2021-22, 15 Order for Lifelong Restriction sentences were imposed by the high court. Twelve of these index offences were of a sexual nature, with the other three of a violent nature. The OLR is not given for one individual offence, but the risk the individual is considered to pose to the public.

Some of these OLRs were imposed from Risk Assessment Orders (RAO) that were made in previous reporting years (5 OLRs made in 2021-22 period were from RAOs made during 2020-21 reporting year).

Age of Individuals Made Subject to an OLR in 2021-22



NATIONAL JUSTICE CONTRIBUTIONS

We work in collaboration with justice partners in Scotland and internationally to promote effective practice in risk assessment and management. In our capacity as a trusted source of advice and support in risk, we respond to needs of the justice sector and provide independent practical advice.

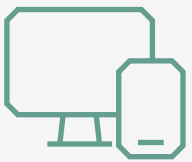
During this year we have contributed to Scottish Government consultations on the National Care Service and Bail and Release from Custody Bill, published research key specialist areas such as Counter-Terrorism, and we are proud to have launched the pilot of the Framework for Assessing Those Convicted of Indecent Images of Children (IIOC) Offences:

FRAMEWORK FOR ASSESSING THOSE CONVICTED OF IIOC OFFENCES

As the prevalence of internet offending continues to grow, justice partners have expressed concerns regarding the challenge this presents in terms of risk assessment and management. Internet offending encompasses IIOC offences as well as online solicitation, live-streaming and online grooming. The global nature of internet offending can make it a particularly challenging and complex issue.

Following publication of a comprehensive literature review on internet offending, the RMA formed and chaired a multi-agency working group to support the development of a risk assessment process for those convicted of offences relating to IIOC. This working group includes representatives from the Scottish Government, Police Scotland, Justice Social Work, the Forensic Network as well as experts in the field from academia.

The result of the working group has been the IIOC Initial Assessment Process. This includes the use of the Child Pornography Offender Risk Tool (C-PORT) and the Correlates of Admitted Sexual Interest in Children (CASIC) as methods of assessing the risk presented by individuals.



8

LOCAL AUTHORITIES

In August we were delighted with the response to recruiting pilot sites for a planned pilot of the framework. This resulted in 8 local authorities in Scotland being identified.

Training of staff took place in May and June, with the assessment process now being used in practice since the completion of training. We have also engaged with the judiciary to raise awareness of the impending pilot. During the pilot, several research studies will be conducted to evaluate the reliability, validity, and usefulness of the framework. These will inform future decisions regarding potential national implementation.

*"I have been fortunate to be involved in the work the RMA has been doing on the development of the C-PORT risk assessment and supporting framework for its use in Scotland for individuals who have IIOC convictions. It's been great to see how this has developed from the working group we sat on and were able to continue throughout the pandemic, to the production of the framework and now the roll out of the pilot sites."*

*Having sat on the working group and now being part of the pilot roll out, is both exciting and hugely motivating. Seeing the work come to fruition while also being able to play a role in the development and implementation of risk focussed frameworks and risk assessment tools for use in Scotland is fantastic. Especially given the evolving research and knowledge base that comes with this particular area of offending behaviour.*

*If it can help enhance our ability to assess and manage risk even more effectively, then we absolutely should be pushing these projects forward.”*

- Lucy Coleman, Team Manager: Tay Project & Caledonian Delivery Team, Community Justice Services.



CONSULTATIONS

In 2021-22 the RMA responded to two significant and relevant Scottish Government consultations: the National Care Service and the Bail and Release from Custody Bill.

National Care Service

The National Care Service Consultation is the biggest social work and social care policy change in a generation. RMA staff and Board attended a series of engagement events and conducted research to inform the RMA response. The RMA are generally supportive of the creation of a National Care Service (NCS).

In our response, we are clear that the creation of the NCS itself will not solve all the current challenges in the sector, and we have concerns that through a centralised service some specialities may be under-represented. The impact of this could result in a loss of specialist expertise, especially in disciplines such as justice social work (JSW).

We make it clear that there is a need for stronger leadership and a more efficient use of resources within JSW, and that this can be delivered without an NCS which requires huge resourcing requirements for effective service delivery. We believe that the benefits to JSW service delivery stem less from incorporation in the NCS that from the establishment of a Social Work Agency, which we support.

The Scottish Government published an analysis report in 2022 to provide an overview of all the views expressed and a summary of the themes raised. The RMA look forward to proactively engaging further with the Scottish Government to support delivery of an effective care service for everyone in Scotland.



**Bail and Release from Custody Bill**

The Bail and Release from Custody consultation from the Scottish Government was designed to collect views on two parts of the justice system: bail/remand and release from custody, to inform the development of legislation in this area. The proposals look at bail reform and wider consideration of how imprisonment should be used in Scotland, now and in the future, which looks to balance protecting the public with providing real opportunities to support and rehabilitate those who offend.

The RMA welcomed this consultation, which proposes an intention to change the way bail operates so that those who do not pose a risk of serious harm are managed safely in the community and not remanded in custody. In our response we make clear that effective risk assessment and management planning is central to the process of supporting successful reintegration.

*“We provided our most comprehensive response to a consultation to date as we believe this consultation offers an opportunity to fundamentally reconsider how we use imprisonment in Scotland.*

*Within our response we propose ensuring the focus is on early, on-going, proportionate and evidence-based risk assessment and management planning to provide appropriate and timely access to services and supports. This support should be from point of entry into custody onwards to adequately prepare the individual for release into the community.*

*We suggested that proposals around release from custody should be considered as part of a wider cohesive model of change which also considers sentencing, assessment and management and provision of throughcare. We look forward to working with justice partners to help inform how imprisonment is used in Scotland in the future.”*

- Julie Webber, Acting Effective Practice Officer

The RMA advocate for a justice system in Scotland that is human-rights focussed; prison should be reserved for only those who has been assessed to pose a serious risk of harm to public safety. Throughout our response we stress the importance and relevance of evidence-based and proportionate risk assessment and management informing defensible decision making and discussions around public safety. As laid out in our FRAME policy, the risk measures should always be proportionate to the degree of risk posed, and decisions on risk must be communicated meaningfully.

[Click here to read our full response.](#)

**COUNTER-TERRORISM**

Terrorism is one of the most serious challenges facing the world today. Counter-Terrorism remains a significant area of work for the RMA. We continue to work collaboratively with other justice agencies to ensure Scotland’s approach to terrorism risk assessment and management is evidence-based and proportionate.

In 2021-22 the RMA conducted and published two rapid reviews of literature relating to counter-terrorism. The reviews, ‘A review of Risk Management Approaches Relevant to Terrorism and Radicalisation’ and ‘A review of Risk Assessment Tools and the Risk Factors Relevant to Terrorism’ are expected to be of interest to justice partners in both the UK and internationally. The reports provide commentary on the work that exists including considerations across systems, cultures, ideologies, and countries. These publications provide an overview on the current evidence base that helps to inform RMA advice to Scottish Ministers.

[Click here to view them.](#)

The first review, focused on risk assessment approaches and common risk factors associated with radicalisation and terrorism, looked at the existing risk tools and frameworks in relation to counter-terrorism. This included considering tool development, reliability, validity and similarities and differences across tools.

The second review, focused on current approaches to risk management, considering interventions and supervision methods that have targeted reducing radicalisation and terrorism risk. As such it included looking at the studies that have been done on these approaches and their associated outcomes and practitioner experiences.

*“The RMA are committed to ensuring that policy and practice are informed by evidence. Both of these reviews highlight the challenges of implementing evidence-based practice in such a unique area as radicalisation and terrorism. We will continue to work with agencies in Scotland to develop arrangements for the assessment and management of those who may cause serious harm due to terrorism.”*

- Mark McSherry, Chief Executive

The RMA will continue to contribute to TACT Related Offender Prisons Oversight Group in 2022-23, a group with 5 workstreams including a specific Risk Management Workstream. Our participation will ensure that risk assessment and management process have been carefully considered.

## 2021-22 BUSINESS PLAN DEVELOPMENT

### RESEARCH AND PROMOTING EFFECTIVE PRACTICE

RMA is committed to improving risk assessment and management throughout Scotland; **RATED (Risk Assessment Tools Evaluation Directory)** is used by practitioners to support them in selecting appropriate risk tools. In 2020-21 the RMA developed a plan to produce a similar long-term project but designed to support practitioners in risk management.

The directory will provide practitioners with access to information on the effectiveness of a range of risk management strategies, split across numerous areas such as supervision, monitoring, intervention and victim safety planning. The information will be grouped by theme to make sure it is accessible and easy to use.

In 2021-22 the team have been developing the project plans, with the project to commence in 2022-23.

### FUNDAMENTALS OF RISK PRACTICE TRAINING EVALUATION

The Fundamentals of Risk Practice training course is designed and delivered by RMA and is an essential part of our support for the justice sector in Scotland. It covers the skills, principles and processes involved in assessing and managing risk of serious harm.

Due to COVID-19 we adapted the training to an online format. We were delighted with the response to the new format and the engagement and dedication of trainees continues to stand out to our trainers. We have also continued to evaluate trainee Risk Management Plans (RMP) following the course and have seen a marked improvement in the quality of first submissions.

*“Brilliant presentation style between facilitators which helped to promote a very open and safe space for discussion. There were regular breaks, and it was kept interactive using different media. This is fundamental to keeping concentration going during online learning.*

– Fundamentals of Risk Training Participant, 2021

### CASE MANAGERS TRAINING EVALUATION

The RMA develop and deliver training for Scottish Prison Service Case Managers. In 2021-22 we evaluated this training to analyse changes in RMP quality over time. The analysis looked at the quality of risk management plans at three time intervals: pre-training, post-training, and following the SPS (Scottish Prison Service) implementing a quality assurance framework. The conclusion was that there had been an improvement in the quality of RMP's following the training.

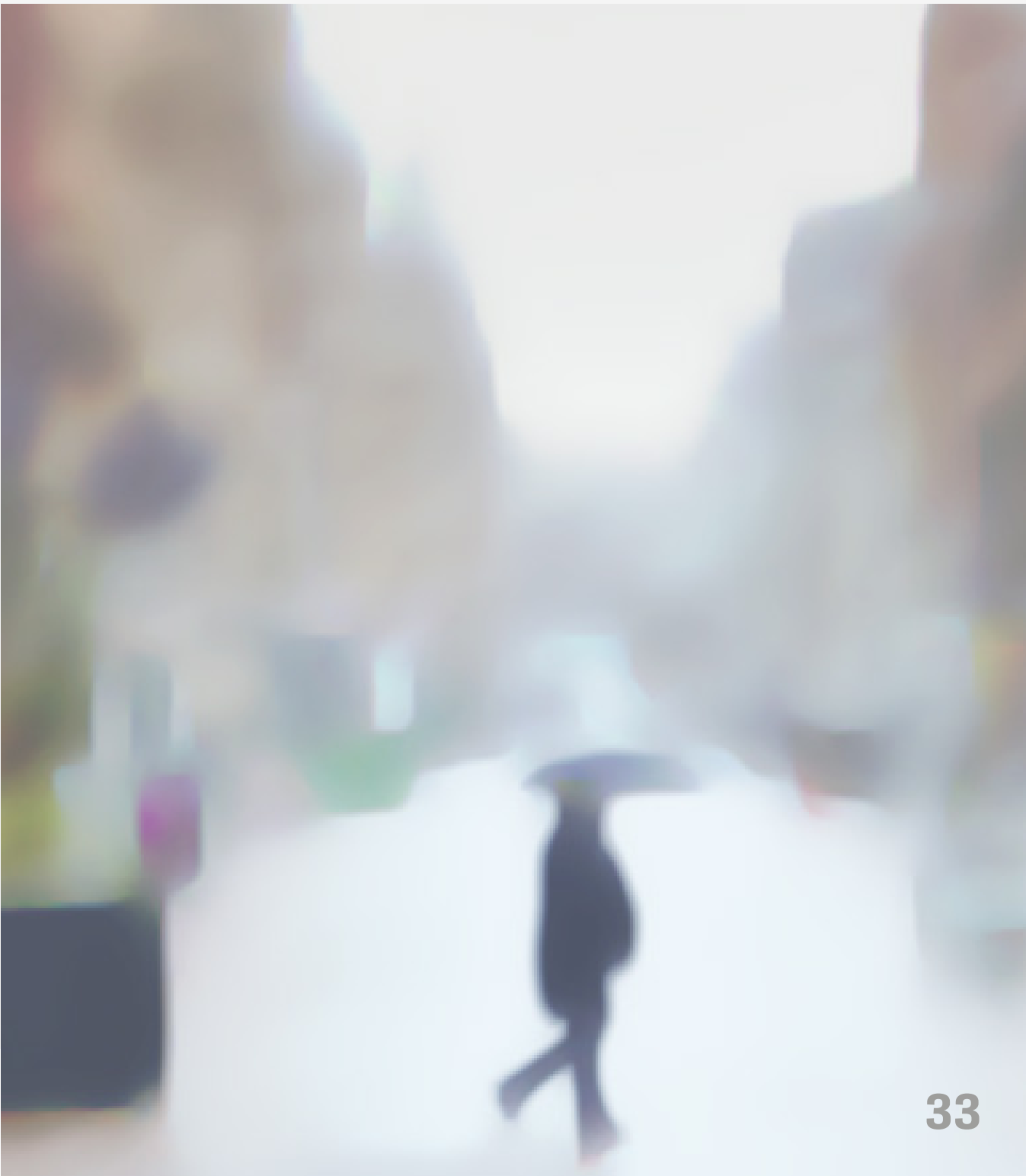
Additionally, and importantly, the Quality Assurance (QA) framework had supported the maintenance of this improvement. It could be anticipated that training might support short-term improvements which can decrease slightly as time passes. However, to see improvements in the quality of RMPs maintained following QA was extremely positive, particularly when considering that some of the RMPs sampled were submitted up to and beyond 24 months after the training.

### FRAMEWORK FOR RESEARCH GOVERNANCE, MANAGEMENT & ASSURANCE (FRGMA)

RMA functions relating to policy, research and promoting effective practice clearly indicate that there is an important place and role for effective research publications produced by the RMA.

To ensure a consistent approach to research within the RMA, in 2021-22 we developed the Framework for Research Governance, Management and Assurance (FRGMA). This framework includes defined roles and responsibilities, an established research process, governance structures, publication standards, our ethics process, and templates and guidance to support the entire process from start to end. It is intended to establish a monitoring process and to set evaluative criteria for RMA research publications.

This framework will be implemented and piloted during 2022-23.





EFFECTIVE PRACTICE

TRAINING AND EDUCATION STRATEGY

Our training and education resources help to improve knowledge, confidence, and skills in risk assessment and risk management. We are currently working to introduce an eight-year Training and Education Strategy that will detail our aim to increase and improve our training and education provision for justice stakeholders.

In the face of the continuing COVID-19 pandemic, the RMA began to deliver our training courses via online platforms in 2021-22.



*“A real challenge with online delivery is what we’ll all be familiar with now – ‘zoom fatigue.’ To keep everyone comfortable and engaged, we incorporated use of the various tools such as video content, chat function, breakout rooms and regular breaks.”*

– Julie Webber, [RMA Blog: Training in this Brave New Online World](#)

The team took great care in adapting the courses to suit online delivery, exploring the best platform and method, and running internal test sessions. Both our Police Risk Practice Course and Fundamentals of Risk Practice Course for Justice Social Work have enjoyed successful virtual sessions.

*“I believe that the delivery of the course in a condensed one-day format via MS Teams worked really well. Whilst there was a lot of information/theory to impart to students, it never felt rushed or that content was diluted”*

– Brian Sutherland, Police Scotland Trainer

The Training and Education Strategy continues to be in development over the course of 2022-23; when implemented it will be accompanied by an eight-year plan for delivery.

The strategy will set out a tiered approach to training and education that will include a future trajectory of professional pathways and service accreditation in relation to risk assessment and management.

FIRST GRANT OF TEMPORARY RELEASE

Working with the Scottish Government and Scottish Prison Service (SPS), we have begun the process to undertake an external Secondary Assurance role for complex First Grant of Temporary Release (FGTR) applications. In 2021-22 the RMA secured the necessary funding to fulfil this vital role and have successfully completed recruitment. Over the course of the year we have worked closely with SPS to begin to develop the framework.

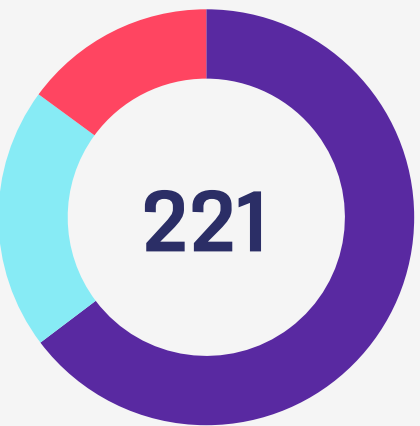
LS/CMI

The RMA runs the Level of Service / Case Management Inventory (LS/CMI) helpdesk, supporting practitioners with advice and guidance, and managing change requests in efforts to ensure effective practice in risk assessment and management.

HELPDESK AND MENTORS

In 2021-22 we continued to deliver the helpdesk and mentor model, with an additional evaluation and review function. Utilising user feedback, our evaluation has examined strengths and weaknesses of the current helpdesk and mentor model. In collaboration with the Scottish Government, we have begun to reduce the helpdesk function to practice and system data only.

The RMA will continue to respond to practice queries and support practitioners in using the system. Our review into the mentor model is ongoing and discussions will continue. The change in our role will help to ensure that we continue to maintain knowledge and expertise of LS/CMI across all services.



LS/CMI HELPDESK QUERIES

The team support the use of the LS/CMI system in Scotland by running the helpdesk and responding to needs. In 2021-22, 221 queries were received via the helpdesk..

- **LS/CMI RELATED (COMMUNITY BASED)**  
143 Queries (65%)
- **LS/CMI RELATED (PRISON BASED)**  
45 Queries (20%)
- **NOT LS/CMI RELATED**  
33 Queries (15%)

LS/CMI CENTRALISATION

The roll-out of LS/CMI Centralisation was completed in 2021-22 and the RMA has continued to attend project Board meetings throughout this time. The Centralisation project supports better information sharing and data collection across justice agencies in Scotland.

STAKEHOLDER ENGAGEMENT

During 2021-22 we invited Justice and Community Safety representatives from every political party to meet to discuss our work. We have met with the Scottish Labour, Scottish Conservative and Unionist and the Scottish Greens. Our Board and Chief Executive have also met with the Cabinet Secretary for Justice.



OLR

RMP AND AIR

Part of our legislative duty to oversee the administration of the OLR includes evaluating and approving Risk Management Plans and evaluating Annual Implementation Reports.

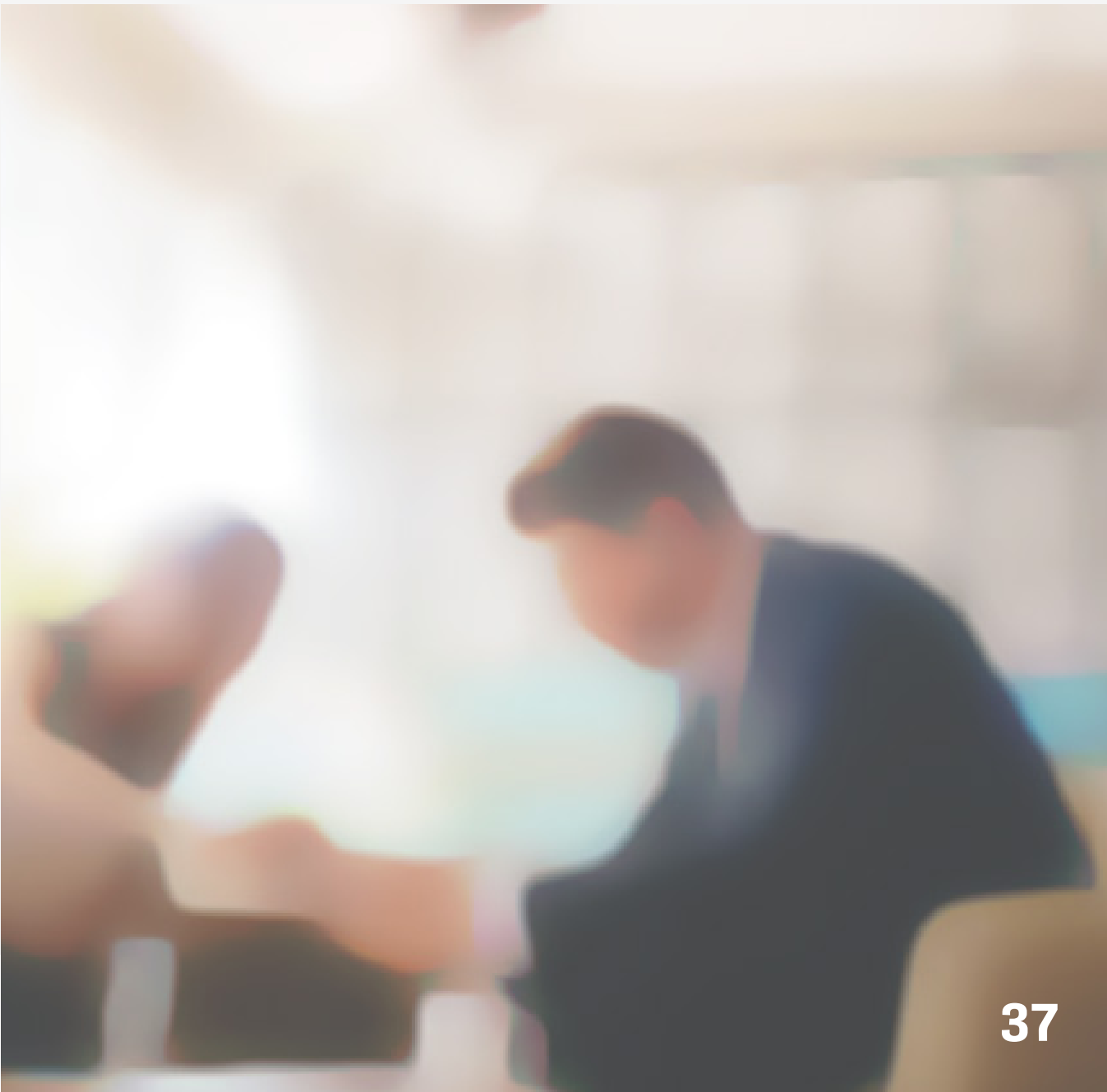
RISK MANAGEMENT PLAN (RMP)

A RMP is prepared by the Lead Authority for every individual who is subject to an OLR. It sets out an assessment of risk, the measures to be taken for the minimisation of risk and how such measures are to be co-ordinated. The RMA have a legislative responsibility to evaluate and approve initial, amended, and revised RMPs.



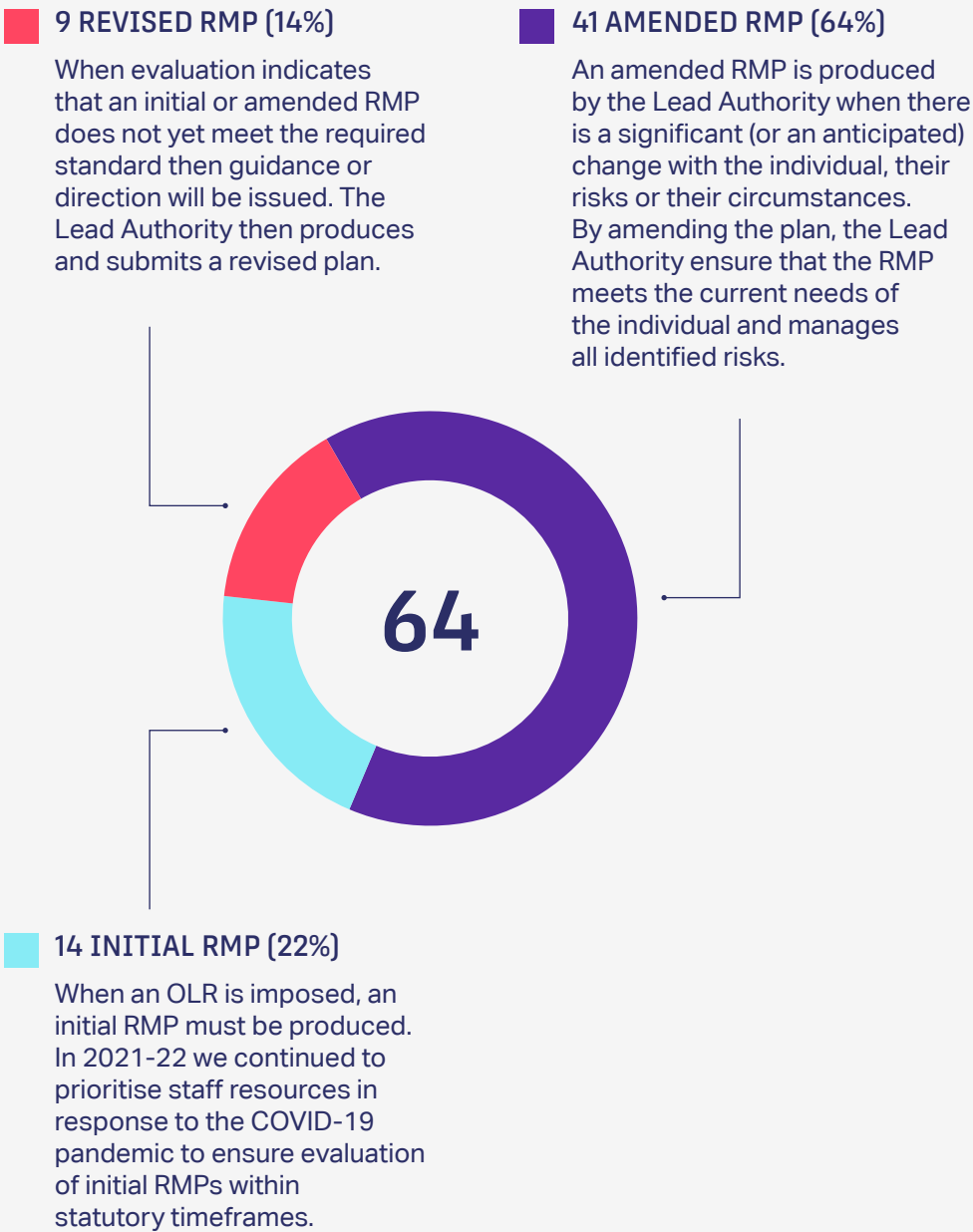
64

**RISK MANAGEMENT PLANS**  
In 2021-22, the RMA received 64 RMP and completed evaluation of 60, with one plan being escalated for further Quality Assurance. Ten plans were carried over into 2022-23.





RISK MANAGEMENT PLANS RECEIVED 2021-22



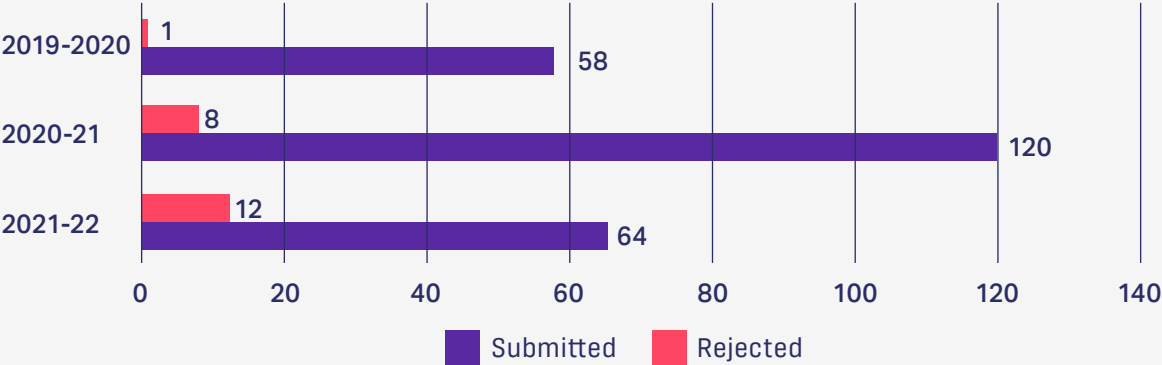
Ensuring that RMPs are comprehensive and responsive to change is essential to effectively meet the needs and manage the risks presented by an individual with an OLR. In 2021-22 the number of amended RMPs being submitted to the RMA has been broadly in line with expectations.

In 2021-22, the Scottish Prison Service (SPS) implemented a new contract to outsource the production of amended RMPs. Of the amended RMPs submitted to the RMA, we have identified significant issues with the quality.

The RMA are committed to ensuring the OLR is implemented appropriately, and the risk an individual presents is assessed and managed effectively. The impact of poor quality RMPs will be felt by all parties including the individual subject to an OLR, the SPS and the RMA.

Given the poor quality, evaluations are taking considerably longer to complete due to the number of points of guidance identified in each case. In terms of submissions, 2019-20 and 2021-22 are the most comparable years, and yet there has been an increase in the percentage of RMP's being rejected from 2% to 19%.

SUBMISSIONS AND REJECTIONS BY YEAR



The RMA have recently taken steps to reinstate the 8 week deadline for the submission for amended RMPs in order to support timely approval of amended RMPs. The RMA has also introduced a pilot programme to introduce screenings of initial and amended RMP – where there are significant issues identified at this early stage, the RMP will be rejected and a full evaluation not completed. Any plan rejected at the screening stage will be escalated to the Board to consider issuing a Direction to the Lead Authority.

Discussions are ongoing with SPS and regular reviews are scheduled to take place throughout the forthcoming year.

ANNUAL IMPLEMENTATION REPORTS (AIR)

Annually the RMA review the lead authorities’ progress in implementing the approved RMP. This is to ensure that the strategies designed to manage risk and support that individual in reducing their risk are consistently applied.



ANNUAL IMPLEMENTATION REPORTS

In 2021-22, the team received 183 Annual Implementation Reports (AIR), a 4% increase on 2020-21. In the year, 175 were evaluated with guidance issued on 93.



ANNUAL IMPLEMENTATION REPORTS GUIDANCE ISSUED

175 AIRs have been successfully evaluated in 2021-22, with ten carried over into 2022-23. Guidance was issued on 93 AIRs.

- GUIDANCE ISSUED ON IMPLEMENTATION**  
45 AIR (48%)
- GUIDANCE ISSUED ON PREPARATION AND REVIEW**  
20 AIR (22%)
- GUIDANCE ISSUED ON IMPLEMENTATION, PREPARATION AND REVIEW**  
23 AIR (25%)
- CONCLUDED FAILURE TO IMPLEMENT**  
5 AIR (5%)

TRAINING AND EDUCATION

To prepare for the release of an individual with an OLR, we provide a package of training and support to local authorities. In 2021-22 we continued to develop this offering, conducting focus groups with community lead authorities to identify areas for development.

We began this project by carefully reviewing case files to identify the frequency and content of queries received from community lead authorities. The focus groups and further one-to-one interviews have additionally provided information to make sure the training resources developed meet the needs of justice partners.

We discovered that several lead authorities highlight the need for a “shared language,” the agreement that it needs to be free from jargon and easily understood by the service user as well as justice partners across several organisations including MAPPA, police, social work, and community services.

The RMA are dedicated to supporting the sector with this, an important principle we explore in policy document **Framework for Risk Assessment, Management, and Evaluation (FRAME)**: *“Without a common language of risk, several problems arise: the reduced quality of communication and differing perceptions of risk conveyed by the same terms. A consensus has developed in Scotland about the desirability of having a meaningful way of expressing risk that is shared between agencies and across the country.”*

The focus groups further discussed the existing training provision from the RMA, and any needs arising. Participants commented that sometimes there was not the opportunity to put the training into practice immediately, and there would be benefit from an ongoing source of training and education. As a result, the RMA is considering the development of an always-available resource toolkit, inclusive of webinars and best practice examples, on the RMA website to support practitioners in their roles.

The team have been encouraged by positive feedback from lead authorities, who cite the ad-hoc advice and guidance from the RMA as invaluable. The team will continue to strengthen relationships with community justice partners to support reintegration of individuals with an OLR back into the community.

OLR CASE MANAGEMENT SYSTEM

The RMA have continued to work towards the implementation of a new OLR Case Management IT system to streamline work and therefore improve efficiency within the OLR team. Over 2021-22 the RMA have conducted significant testing of the highly secure system and expect to implement the new system in 2022-23.

**WE CONTINUE TO PROMOTE EFFECTIVE PRACTICE IN RISK ASSESSMENT AND MANAGEMENT TO SUPPORT PUBLIC PROTECTION IN SCOTLAND**



**STAKEHOLDER ENGAGEMENT**

Collaboration is important to ensuring a shared understanding of risk and best practice. In 2020-21 the RMA are proud to have positively contributed to several nationwide working groups.



16

**WORKING GROUPS**  
The RMA contributed expert advice on risk assessment and management to 16 working groups in Scotland in 2021-22.

**Counter-Terrorism**

In 2021-22 the RMA has worked with justice partners - including the Scottish and UK civil services; Prevent colleagues in the Scottish Government; Police Scotland's Counter-Terrorism Unit, and the Scottish Prison Service - to review the UK Government's Counter-Terrorism and Sentencing Act 2021.

Following the publication of two RMA literature reviews – [A Review of Risk Assessment Tools and Risk Factors Relevant to Terrorism](#) and [A Review of Risk Management Approaches Relevant to Terrorism and Radicalisation](#), we will continue to work with justice agencies to consider the approach to risk assessment and management of those convicted of terrorism offences in Scotland.

**Scottish Sentencing Council and Sexual Offences Committee**

Further, the RMA presented two inputs to the Scottish Sentencing Council this year. The first input discussed the OLR – exploring current issues and barriers in relation to the implementation of the OLR sentence, as well as our future research plans. The second input was on the impending pilot of the framework for assessing those convicted of Indecent Images of Children (IIOC) offences. In this session we explained where the framework came from, why we developed it, what it includes and our plans for the pilot.



*"Very grateful to be hosted by @scottishprisons HMP Greenock and @RMAScotland during visits today to discuss sentencing, risk management and areas of mutual interest in our respective work programmes."*

– Scottish Sentencing Council Tweet, December 2021





Following these sessions our Head of Development, Geoff Tordzro-Taylor, was invited to attend the Sexual Offences Committee and provide an update on the framework and the plans for the pilot. The sessions have led to increased awareness of the pilot, and we were pleased to work together with the judicial institute to share further information with sheriffs and judges.

**Parole Board Scotland and RMA**

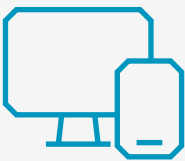
During 2021-22 a training needs analysis (TNA) was produced following engagement with Parole Board members and seeking their views on training needs relating to risk assessment and management. This has led to the planning of a training event with members in 2022-23.



**WIDER ENGAGEMENT**

Through our work, the RMA has gained international recognition as a centre of excellence in risk assessment and risk management. Our communications activity proactively engages with the public and our stakeholders to increase understanding of our functions and role within the wider justice sector.

We are committed to improving how we communicate, in 2021-22 we introduced a refreshed branding style reflective of the current and future direction of the organisation. Our blog continued to provide in-depth looks at important topics to promote discussion and debate.



15%

**INCREASE IN SESSIONS**  
The RMA are pleased to report an increase of 15% in the number of website sessions in 2021-22, a total of almost 27,000.

**Guest Blog: Monica Lloyd, Co-Developer of ERG22+**

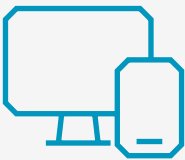
To mark the publication of two [counter-terrorism literature reviews](#), we welcomed chartered and registered forensic psychologist, and British Psychological Society fellow, Monica Lloyd to write a guest article for the RMA blog.

Monica co-developed risk assessment tool ERG22+ within a dedicated role with terrorist offenders in custody in England and Wales 2008-2001. In her blog, she wrote about recent developments in frameworks for assessing the risk of terrorist offending:



*“Terrorist attacks remain very rare, ten times rarer in fact than other forms of violence, though disproportionately impactful. This low base rate rules out actuarial risk assessment, and most approaches for assessing risk and needs conform to structured professional judgement (SPJ).”*

- Monica Lloyd, [Guest Blog: Monica Lloyd, Co-developer of ERG22+](#)



10%

**INCREASE IN USERS**  
The RMA website welcomed over 16,000 users in 2021-22, a 10% increase on 2020-21.

**RMA Blog: Supporting Victim Safety**

Victim safety planning is a critical management strategy within Risk Management Plans for individuals subject to an OLR. In 2020-21, OLR Case Worker Hayley Warburton began working towards a professional development award (PDA) in domestic abuse advocacy. The course was delivered by ASSIST, SafeLives and Scottish Women's aid, and in September 2021, Hayley wrote about her experience:



*"One of the most powerful learning points for me from my experience of undertaking the course is the strength of passion, commitment and determination within the field to advocate for change and reform to improve the safety of those who experience domestic abuse."*

- Hayley Warburton, 'RMA Blog: Supporting Victim Safety'



*"This is a great blog from @HayleyRMA from @RMAScotland, reflecting on the value of the Idaa/Marac model, and why a multi-agency response to #DomesticAbuse is so important to keeping victims in Scotland safe #SaferSooner #16Days21"*

- Jenny Smith-Littlejohn on Twitter (@JenM\_Smith)



**58%**

**INCREASE IN IMPRESSIONS**  
As Twitter activity continued to increase over 2021-22, impressions totalled almost 287,000 representing an increase of 58%.

In December 2021, to support the campaign to recruit new Accredited Assessors, our OLR Lead Ross Pollock hosted an online seminar. The session provided an overview of the role of an Accredited Assessor, the application process, and concluded with a Q&A.

The RMA newsletter has continued to grow with regular editions sent to subscribers including latest news, updates and events from the RMA.



**13%**

**INCREASE IN SUBSCRIBERS**  
The RMA newsletter subscribers increased by over 13%. Sign up to the Enewsletter [here](#).



## KEY PERFORMANCE INDICATORS

To measure the effective delivery of our statutory functions, the RMA identify and monitor key performance indicators (KPI).

### Development

We will contribute to ensuring risk assessment and management processes remain up to date with current thinking. In 2020-21 we planned to deliver six courses, however one course did not go ahead due to scheduling limitations.



5

#### TRAINING COURSES

In 21-22 the RMA delivered five training courses to 61 participants encompassing social work and police.

In addition to our training work, the Development team have continued to support practitioners and justice agencies with guidance and participated in various working groups including counter-terrorism groups.

### Effective Practice

We will initiate external policy review where required and support the development of appropriate legislation and procedure to protect public safety. We aim to respond all relevant Scottish Government consultations, this year we identified two.



2

#### CONSULTATION RESPONSES

In 2021-22 the RMA provided detailed responses to the National Care Service and the Bail and Release from Custody Bill consultations.

In both our responses we advocate for a justice system in Scotland that is human-rights focussed, individualised and evidence-based. Find more details of our responses on p29-30.

### OLR

We will ensure compliance with an efficient and high-quality risk management process, utilising our Standards and Guidelines. In 2020-21 we aimed to evaluate 90% of Annual Implementation Reports within six weeks of receipt, and 100% of Risk Management Plans approved in accordance with the statutory nine month timescale.



100%

#### RMP APPROVAL IN TIMESCALES

The RMA are pleased to report that 100% of RMP were approved in the statutory nine month timescale, and 99% of AIRs were evaluated within six weeks of receipt.

Over the course of the year the OLR team undertook a significant project to evaluate and develop a more efficient accreditation procedure. The procedure opened to new applicants in January 2022 and five qualified risk assessors have now become RMA accredited. An important part of our work is to provide advice and guidance to promote effective practice in risk assessment and management. In 2021-22 the OLR team continued to develop training resources including a Community Support Package for community-based justice partners.





## FINANCIAL SUMMARY

### Sources of Funding

The RMA is established under the Criminal Justice (Scotland) Act 2003 as is wholly funded through Grant-in-Aid. The Scottish Ministers are answerable to the Scottish Parliament for the RMA and are responsible for making financial provision to meet the RMA's needs.

### Review of Financial Performance

We are required to produce annual accounts detailing the resources acquired, held or disposed of during the financial year and the way in which they were used. The RMA Chief Executive has been appointed as Accountable Officer and is responsible for the preparation of these accounts 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 following sections provide a summary from the accounts. The financial statements are published on page XX

| Resource Outturn                        | 2021-22        |                |                  | 2020-21        |
|---|----------------|----------------|------------------|----------------|
|   | Actual<br>£000 | Budget<br>£000 | Variance<br>£000 | Actual<br>£000 |
| Our year in figures                     |                |                |                  |                |
| Staff Costs                             | 1,353          | 1,378          | (25)             | 1,144          |
| Member Fees                             | 36             | 35             | 1                | 24             |
| Other Operating Costs                   | 353            | 327            | 26               | 413            |
| Capital Expenditure                     | 4              | 5              | (1)              | 58             |
| Total Expenditure                       | 1,746          | 1,745          | 1                | 1,639          |
| Total Resource required from Parliament | 1,737          | 1,745          | (8)              | 1,639          |

### Capital Expenditure

In addition to a net revenue expenditure budget, the RMA received a capital budget to purchase assets that have a use beyond one year. Capital expenditure in 2021-22 amounted to £4k and supported investment in IT and furniture and fittings.

### Resources Required for 2022-23

The 2022-23 budget has been approved by the Scottish Parliament with revenue resources totalling £1.894 million.

## COVID-19 STATEMENT

Over the last year the world has continued to react to the ongoing Coronavirus pandemic. The RMA continued to follow public health guidance and staff largely worked from home during 2021-22.

In September 2021 we were delighted to welcome the team back into our Paisley offices on a rota basis. As the Omicron wave enveloped the UK, our offices closed once more in October and the team returned to full time homeworking for the health and safety of all.

In facing the challenges of the ongoing pandemic, I am proud to say that we have continued to deliver our objectives for the year, including delivering our valuable training via online platform MS Teams.

*“Facilitators were extremely motivating and encouraging which was helpful to promote learning and to encourage participation. I think this is particularly hard in an online environment, but you guys managed this excellently.”*

– Risk Practice Training Course attendee, 2021

Over the course of the year, we have maintained a high level of consultation with our recognised union PCS to make sure our policies and procedure remain relevant and supportive. In early 2022, we safely reopened our office once more on a hybrid basis to allow staff to enjoy a mix of home and office working.

I am pleased to bring into action our new Hybrid Working Policy in 2022-23. As we continue to navigate these complex times, we are enthusiastic about maintaining our learning and the spirit of doing things differently.

I am grateful to our team for adapting and working hard to support the transformation of justice in Scotland.

PUBLIC INTEREST REPORTS

Environmental Issues

We operate environmental policies and procedures which include recycling and choosing sustainable products. We also provide a cycle to work scheme for all staff and promote car sharing for attendance at events and meetings. We aim to communicate through electronic media, making better use of technology to provide information in a cost effective and environmentally friendly manner.

Our latest Biodiversity Duty report can be found on our website.

Social, Community and Human Rights Issues

We have a policy to support staff volunteering and voluntary activities; we also have an Equal Opportunities Policy and Procedure. Under the Equality Act 2010 Specific Duties (Scotland) Regulations 2012 and 2016, we report on mainstreaming the equality duty, publish equality outcomes and records progress.

Anti-Corruption and Anti-Bribery Matters

Our 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 our publication of the required information.

| Public Services Reform Act Report   |          |
|---|----------|
| External Consultancy  | £63,599  |
| Public Relations  | £4,544   |
| Payments Exceeding £25,000:<br>Scottish Government – IT & Internal Audit Services: £52,863<br>Abbeymill Business Centre – Office Rent and Building Works: £47,760<br>Leidos – IT system implementation: £33,646 | £134,269 |

Payment Performance

In line with Scottish Government, our policy for the payment of invoices, not in dispute, is within 10 days of receipt (or the agreed contractual terms if otherwise specified). We aim to pay 100% of invoices, including disputed invoices once the dispute has been settled, within these terms. During this financial period, we paid a total of 91% of invoices received within the terms of the payment policy, compared with 92% in the previous year.

As at year end the value of supplier payments outstanding was £2,669. Supplier payments outstanding at 31 March 2021 was £58,882. All short-term liabilities were classified as trade payables.

We observe 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.



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FOISA REQUESTS

In 2021-22 the RMA received 12 FOISA requests. All responses were provided within the legislative 20 working day timescale.



## FUTURE PRIORITIES

Our 2022-23 Business Plan sets out our priorities for the forthcoming year, set within the context of the final year of our current Corporate Plan. You can read it in full on our website, [here](#).

Areas of work for 2022-23 include:

### Review of the Operation of the OLR

In 2022-23 we intend to develop a strategic approach to review the operation of the OLR and how it functions. In doing so we will continue to provide advice to Scottish Ministers in relation to the OLR. We will engage with the Scottish Government to determine a plan of approach to implement any identified recommendations from the review. This is a significant piece of work which will inform discussions around the OLR sentence and service provision and identify if there are areas for improvement and change.

### OLR Research Reports

Understanding the complex needs within the OLR population is a key area of focus for the RMA. In 2022-23 we will publish a series of research papers looking at individuals who have been sentenced to an OLR. This will include improving our understanding of psychopathy and personality disorder within the OLR population, as well as a focus on the victim characteristics of the population.

### FRAME Update

The Framework for Risk Assessment, Management and Evaluation (FRAME) are the published standards and guidelines for risk practice in justice in Scotland. The purpose of FRAME is to bring consistency to the way in which agencies assess, manage, and evaluate the risk presented by offending behaviour. This year we will scope out an approach to review the implementation of FRAME and identify if there are elements that require further work. This will make sure that the guidance continues to reflect current thinking and can support effective practice in Scotland.

Read our [2022-23 Business Plan](#) or stay up to date by following us on Twitter [@RMAScotland](#).

## RISKS AND UNCERTAINTIES

To ensure RMA is prepared to deal with future changes we use straightforward methodology to identify, record, monitor and report risks, which allows for mitigating action to be taken.

As at 31 March 2022 the corporate risk register identified the following key risks:

- Financial – If adequate funding is not received, it may impact ability to fulfil statutory functions.
  - Scottish Government Funding
- Business Continuity – If an extraordinary event occurs, business activities may be disrupted.
  - Cyber Security
  - Industrial Action
- Reputation – If reputation is questioned, standing as a credible authority could be affected.
  - Critical failure of RMA processes
  - Critical failure of FGTR secondary assurance model
- OLR Processes – If OLR processes and support systems are not adequate, it may impact effectiveness.
  - Rejection rate of amended risk management plans
  - Failure to implement IT based case management system
  - Changes to OLR demographic

The Chief Executive and Accountable Officer, Mark McSherry, has overall responsibility for risk management. The RMA Board, through the Audit & Assurance Committee, has responsibility for risk management arrangements.

Our Management Team has day-to-day responsibility for the systems of internal control, including risk management controls. The RMA risk register is reviewed regularly and communicated to staff.



**Mark McSherry**

*Chief Executive and Accountable Officer*

02 December 2022



**A UNIQUE ORGANISATION IN SCOTLAND, WE  
WORK TO PROTECT THE PUBLIC BY REDUCING  
THE RISK OF SERIOUS HARM**



**ACCOUNTABILITY REPORT**

**DIRECTOR'S REPORT**

**Directors**

The directors of the Risk Management Authority are the executive management team whose details are set out in the Governance Statement.

**Register of Interests**

Board members must complete a declaration of interests. No significant company directorships or other interests were held which may have conflicted with their responsibilities and no member of the Board had any other related party interests which conflicted with their responsibilities: [2021-22 Register of Interests](#).

**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 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 Principal Civil Service Pension Scheme. Further details about the can be found on their [website](#).



# STATEMENT OF ACCOUNTABLE OFFICER'S RESPONSIBILITIES

Under paragraph 13 of the Criminal Justice (Scotland) Act 2003, the Scottish Ministers have directed the RMA 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 RMA and of its income and expenditure, recognised gains and losses, and cash flows for the financial year.

The Accountable Officer for the Scottish Government Justice Department designated the RMA's Chief Executive, Mr Mark McSherry, as the Accountable Officer for the RMA.

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 RMA 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 RMA website, [www.rma.scot](http://www.rma.scot). Legislation in the UK governing the preparation and dissemination of financial statements may differ from legislation in other jurisdictions.

In preparing the accounts, the Accountable Officer is required to comply with the requirements of the Government Financial Reporting Manual and has:

- observed the accounts direction issued by the Scottish Ministers, including the relevant accounting and disclosure requirements, and applied suitable accounting policies on a consistent basis
- made judgements and estimates that are reasonable and prudent
- stated whether applicable accounting standards as set out in the Financial Reporting Manual have been followed, and disclosed and explained any material departures in the financial statements
- prepared the financial statements on a going concern basis

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

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.



**Mark McSherry**  
Chief Executive and Accountable Officer  
02 December 2022

# 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 RMA's policies, aims and objectives, whilst safeguarding the public funds and RMA 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 RMA
- managing risk and resources
- accounting for the RMA'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.

## Our Governance Framework

Our governance framework is clearly defined within the context of the Sponsorship Framework which specifically addresses:

- the functions, duties and powers of the RMA
- 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 RMA's role
- key financial and operating procedures

The governance framework is further supported by a [Code of Conduct](#) for Board members which was updated in February 2022.

SENIOR MANAGEMENT TEAM

The Management team, led by the Chief Executive, oversee the day-to-day operation of the RMA. The team take business decisions and consider regular reports on progress towards meeting the RMA's objectives for the year.



**Mark McSherry, Chief Executive**

Mark started his career working in residential care, alternative to custody programmes and youth justice before joining SACRO in 1997. He studied social work and provided programmes on Domestic Abuse and support services to woman and children across the Forth Valley, as well as programmes for those convicted of sexual offending and for young people on Probation. Mark held posts at Glasgow Community Safety Services providing restorative programmes with young people, prior to becoming Head of the Scottish Government's Effective Practice Unit in 2007. He first joined the RMA in 2010 and became Chief Executive in 2019.



**Paul Keoghan, Director of Corporate Services**

Paul joined the Risk Management Authority in 2008 as Director Corporate Services with key responsibilities to provide assurance to the Board and Chief Executive on all areas of corporate governance and finance. He previously worked for 16 years in the education sector as Deputy General Manager with the University Strathclyde Students' Association with functions to deliver social, wellbeing and representative services to students. Paul also worked in London where he gained 5 years' experience in the private sector working for multinationals such as Hillside Holdings and GKN PLC. Paul's experience is supported by various qualifications including an MBA from Strathclyde University, a Diploma in Corporate Governance and Chartered Manager status.



**Debbie Campbell, Head of OLR**

Debbie is a Chartered and Registered Forensic Psychologist. During her early career she worked in addiction services; secure mental health and latterly the Scottish Prison Service. Debbie achieved Chartered and Registered status in 2019. She has a wealth of experience in assessment and interventions for general and sexual violence. Through various roles she has had the opportunity to develop, deliver and manage offending behaviour programmes delivered in custody. Working across different prisons also provided significant experience in psychological assessment in areas including general, sexual and intimate partner violence, cognitive functioning and personality. Debbie also has a keen interest in the management of individuals who present a high risk of general and sexual violence.

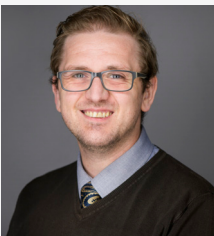
**Eddie Kotrys, Head of Effective Practice**

Eddie joined the RMA as Head of Effective Practice in 2022 and has strategic responsibility for developing RMA policy on the basis of research and effective practice evidence, through engagement with justice agencies in Scotland and by providing advice to the Scottish Ministers. He has extensive experience in the field of justice; Eddie began his career as a prison officer and went on to hold many leadership and senior roles across operational, workforce development and national policy areas. Eddie is interested in helping public service organisations work together efficiently and effectively to achieve public protection outcomes that align with the aims and principles of the Vision for Justice in Scotland.



**Lauren McClintock, OLR Team Manager**

Lauren has a wealth of experience ranging across various sectors, including: youth justice services; children's residential services; as well as, adult residential and community services, supporting individuals involved within the justice system who experienced complex and interrelated issues associated with offending behaviour. With a LLB (Hons) Law, MSc in Criminal Justice and the BA (Hons) in Social Work, Lauren began her career in local authority social work over ten years ago. She has had oversight of statutory community and throughcare casework, specifically complex high risk violent and/or sexual offenders, including those subject to MAPPA and OLR. She has a keen interest in the risk assessment and management of individuals who present a high risk of general and sexual violence, particularly intimate partner violence.



**Geoff Tordzro-Taylor, Head of Development**

Geoff has worked in care, mental health and prison settings, and qualified as a Chartered Psychologist and Registered Forensic Psychologist in 2019. He first joined the RMA in 2017 and worked on training initiatives and standards and guidelines. More recently he moved into senior management where he now manages OLR functions, and supports agencies with risk assessment and management. Geoff enjoys translating current thinking around risk assessment, formulation and management into research projects, approaches to assessment, and producing education and training initiatives.



### THE BOARD

The Board has corporate responsibility for ensuring the RMA 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.

#### Mr David Crawford (Convener)

David Crawford, a qualified social worker with over 30 years' experience, has an extensive background in criminal justice work and was a member of the Maclean Committee. He was the Director of Social Work for Renfrewshire Council, then Executive Director of Social Care Services with Glasgow City Council until his retirement from local government in 2012.

#### Dr Aileen Burnett

Dr Aileen Burnett is a consultant Forensic Clinical Psychologist. She has extensive experience of offering direct and indirect Psychological treatment to adult forensic patients and has expertise in the assessment, management and treatment of personality disordered offenders.

#### Ms Jane Davey

Jane Davey studied Law and has worked as a solicitor for nearly 30 years. She is currently Principle Litigation Solicitor for Highland Council where she has been for 19 years. Jane has experience of multi-agency Public Protection and risk assessment and policies and procedures.

#### Mr Jim Farish (joined 27 May 2021)

Jim Farish held a number of senior roles at the Scottish Prison Service including Governor in Charge of four prisons, Assistant Director of Prisons as well as a period seconded to HM Inspectorate of Prisons for Scotland as Deputy Chief Inspector. He has a strong human rights background having led the project to ensure that rights and their importance were clearly articulated within each of the standards used for the inspection of prisons in Scotland.

#### Ms Michele Gilluley

A registered and chartered Forensic Psychologist, Michele Gilluley has over 20 years' experience of risk assessment and management of offenders in custody and secure care in Scotland. She is also acting as an expert to the Council of Europe, consulting on projects related to improving human rights.

#### Mr Chris Hawkes (left 26 May 2021)

Chris Hawkes was the chief officer for the Lothian & Borders Community Justice Authority. For over 40 years, Chris has worked in a variety of jurisdictions specialising in the management of offenders. He firmly believes that communities are safer when offenders are managed properly.

#### Dr Joe Judge (joined 27 May 2021)

Dr Joe Judge is a clinical psychologist. He has worked in a wide range of forensic and non-forensic mental health settings and has long-standing clinical and research interests in the risk assessment of violence and sexual violence. Dr Judge has a special interest in the application of psychological formulation for people with complex relational difficulties.

#### Mr Stephen McAllister

Stephen McAllister is a former Divisional Commander with Police Scotland with extensive experience in the management of change and risk. Since retirement, Mr McAllister has served on the Boards of the Samaritans, the Golden Jubilee Foundation Board and as Chairperson of Lifelink, a Glasgow Social Enterprise.

#### Mr Terry Powell

Terry Powell was a member of Lothian and Borders Police undertaking a wide range of responsibilities including divisional commander. Since retiring, Terry has been a member for the Parole Board for Scotland with responsibility for assessing the risk of offenders and making decisions regarding their release.

#### Mr Stephen Swan (left 31 August 2021)

Stephen Swan served for 20 years with the Scottish Prison Service. Roles include Governor, Deputy Director Prisons and latterly as Director, Human Resources. He brings over 30 years' experience in criminal justice, law enforcement, and offender management policy and practice.

The Board 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
- functions as laid out in the Criminal Justice (Scotland) Act 2003.

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 RMA Publication Scheme, edited versions of these minutes are available on the website, [www.rma.scot](http://www.rma.scot). The RMA provides an internal induction programme for all new Board Members in addition to access to external Board training.

The Board is supported by an Accreditation Committee, Appeals Committee and Audit & Assurance Committee.

**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 Michele Gilluley. The Committee meets for the purposes of preparing risk assessment reports for individuals being considered for an OLR.

**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 required to convene once during the reporting period.

**Audit and 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 McAllister.

Board and committee minutes are available on our [website](#).

Meeting Attendance 2021-22

| Meeting                       | David Crawford | Aileen Burnett | Jane Davey | Terry Powell | Michele Gilluley | Stephen McAllister | Joe Judge | Jim Farish | Chris Hawkes | Stephen Swan |
|-------------------------------|----------------|----------------|------------|--------------|------------------|--------------------|-----------|------------|--------------|--------------|
| Board                         | 8              | 7              | 7          | 5            | 8                | 7                  | 5         | 7          | 1            | 3            |
| Accreditation Committee       | -              | 9              | 9          | -            | 10               | -                  | 6         | 7          | -            | 3            |
| Appeals Committee             | 1              | -              | -          | -            | -                | -                  | -         | -          | 1            | -            |
| Audit and Assurance Committee | -              | -              | 3          | 3            | -                | 4                  | -         | 3          | -            | 2            |

**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.

The Audit and Assurance Committee has responsibility for risk, control assurance and governance. The committee recommends the appointment of our internal auditors and receives our annual accounts and internal and external audit reports.

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

The RMA 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. The risk register is reviewed in conjunction with the preparation of Corporate and Business Plans.

The RMA continue to assess the risks in relation to COVID-19. Our priority remains the wellbeing, health and safety of our staff. The office has opened and closed as required with the new variants of COVID-19 and while it is still prevalent, we continue to monitor the situation. The RMA continues to maintain the delivery of all functions through the pandemic.

**Assessment of Corporate Governance and Risk Management Arrangements**

As Accountable Officer, I have responsibility for overseeing the RMA’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 RMA 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 RMA who have responsibility for the development and maintenance of governance, performance and internal controls frameworks
- the Board who has responsibility for receiving, monitoring and commenting on regular management reports on governance matters, performance outcomes and risk management
- the work of the RMA’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 RMA’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 and Audit & Assurance

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 RMA
- a programme of planned audits performed by the internal auditors with reports being presented to the Accountable Officer and the Audit & Assurance Committee
- 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 OLR and Head of Development 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 RMA.

As Accountable Officer I can confirm that I am fully content with the effectiveness of the RMA'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.



**Mark McSherry**  
Chief Executive and Accountable Officer  
02 December 2022

## 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 Ethical Standards in Public Life in Scotland. The Convener has been re-appointed for a term of 2 years which ends on 31 March 2023.

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.

### Board Member Remuneration\*

| Board Member                          | 2021-22<br>£'000 | 2020-21<br>£'000 |
|---------------------------------------|------------------|------------------|
| Mr David Crawford (Convener)          | 5-10             | 5-10             |
| Dr Aileen Burnett                     | 1-5              | 1-5              |
| Ms Jane Davey                         | 1-5              | 1-5              |
| Mr Terry Powell                       | 1-5              | 1-5              |
| Ms Michele Gilluley                   | 1-5              | 1-5              |
| Mr Stephen McAllister                 | 1-5              | 1-5              |
| Dr Joe Judge (joined 27 May 2021)     | 1-5              | -                |
| Mr Jim Farish (joined 27 May 2021)    | 1-5              | -                |
| Mr Stephen Swan (left 31 August 2021) | 1-5              | 1-5              |
| Mr Chris Hawkes (left 26 May 2021)    | 1-5              | 1-5              |

*'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.*



Executive Directors

The Board deals with all matters relating to remuneration including the level of annual pay award for staff and the senior executives (directors) which include the Chief Executive and Director Corporate Services.

The salaries (excluding employer’s superannuation and national insurance contributions), benefits in kind and accrued pension entitlements of the executive directors are shown in the following tables. Information is presented for the whole year to 31 March 2022.

Executive Directors’ Remuneration and Pension Benefits\*

| Director                                       | Salary<br>£'000 |         | Benefit in kind<br>(nearest £100) |         | Pension benefits<br>(nearest £1000) |         | Total<br>£'000 |         |
|--|-----------------|---------|-----------------------------------|---------|-------------------------------------|---------|----------------|---------|
|  | 2021-22         | 2020-21 | 2021-22                           | 2020-21 | 2021-22                             | 2020-21 | 2021-22        | 2020-21 |
| Mr Mark McSherry<br>Chief Executive            | 85-90           | 80-85   | -                                 | -       | 33                                  | 37      | 115-120        | 120-125 |
| Mr Paul Keoghan<br>Director Corporate Services | 75-80           | 70-75   | -                                 | -       | 30                                  | 29      | 105-110        | 100-105 |

| Director                                       | Accrued pension at pension age as at 31/03/2022 | Real Increase in pension and related lump sum at pension age | CETV at 31/03/2022† | CETV at 31/03/2021† | Real increase in CETV |
|--|---|--|---------------------|---------------------|-----------------------|
|  | £'000   | £'000  | £'000               | £'000               | £'000                 |
| Mr Mark McSherry<br>Chief Executive            | 10 - 15   | 0-2.5  | 144                 | 118                 | 16                    |
| Mr Paul Keoghan<br>Director Corporate Services | 20 - 25   | 0-2.5  | 290                 | 261                 | 17                    |

†Note: 1. A CETV is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a 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 because of their total membership of the scheme including any benefit transferred from another scheme and not just their service in a senior capacity to which the disclosure applies. The real increase in CETV reflects the increase in CETV effectively funded by the employer. It does not include the increase in accrued pension benefits due to inflation, contributions paid by the employee and uses common market valuation factors for the start and end of the period.

Fair Pay\*

The chart below discloses the relationship between the remuneration, before pension benefits, of the highest paid individual and the lower quartile, median and upper quartile of the organisation's workforce.

| Top to Median Staff Pay Multiples | 2021-22         | 2020-21          |
|-----------------------------------|-----------------|------------------|
| Band of Highest Paid Individual   | 85,000 - 90,000 | 80,000 - 85,000  |
| Lower Quartile Remuneration       | 29,593          | 27,960           |
| Lower Quartile Ratio              | 3               | 3                |
| Median Remuneration               | 33,676          | 31,424           |
| Median Ratio                      | 2.6             | 2.6              |
| Lower Quartile Remuneration       | 44,285          | 42,794           |
| Upper Quartile Ratio              | 2               | 1.9              |
| Remuneration Range                | 25,000 - 90,000 | 25,000 - 85,0000 |

Pensions

All RMA employees are entitled to enter the Principal Civil Service Pension Scheme (PCSPS). It is a defined benefit scheme providing pension benefits and life assurance for all permanent staff. RMA makes payments of superannuation contributions to PCSPS at rates set by the Government Actuary.

Employment contracts

RMA staff hold permanent appointments which are open-ended until they retire. Early termination, other than through misconduct, would result in the individual receiving compensation.

STAFF REPORT

Staff Costs

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

| Authority Members              | 2021-22<br>£'000 | 2020-21<br>£'000 |
|--------------------------------|------------------|------------------|
| Board Member Fees              | 36               | 24               |
| <b>Total Authority Members</b> | <b>36</b>        | <b>24</b>        |

| Administrative staff              | 2021-22<br>£'000 | 2020-21<br>£'000 |
|-----------------------------------|------------------|------------------|
| Wages and salaries                | 973              | 825              |
| Social Security costs             | 107              | 90               |
| Pension costs                     | 273              | 229              |
| <b>Total Administrative Staff</b> | <b>1,353</b>     | <b>1,144</b>     |
| <b>Total Staff Costs</b>          | <b>1,389</b>     | <b>1,168</b>     |

| Average number of employees during the year | 2021-22 | 2020-21 |
|---|---------|---------|
| Authority Members                           | 8.4     | 8       |
| Staff                                       | 24.3    | 20.5    |

Staff Numbers\*

Fixed term staff account for 1.4% of the total workforce. The chart below provides analysis of staff by engagement type.

| Staff                                 | Number    |
|---------------------------------------|-----------|
| Number of Permanent Staff             | 23        |
| Number of Fixed Term Staff            | 2         |
| <b>Total Number of Staff Employed</b> | <b>25</b> |

Staff Composition

| Staff Composition | Male     |            | Female    |             |
|-------------------|----------|------------|-----------|-------------|
|                   | Actual   | FTE        | Actual    | FTE         |
| Directors         | 2        | 2          | 0         | 0           |
| Staff             | 5        | 4.8        | 18        | 17.6        |
| <b>Total</b>      | <b>7</b> | <b>6.8</b> | <b>18</b> | <b>17.6</b> |

Sickness Absence Data

| Sickness Absence Data | 2021-22      | 2020-21     |
|-----------------------|--------------|-------------|
| COVID-19 Related      | 36           | 26          |
| Sickness Absence      | 249.5        | 111         |
| <b>Total</b>          | <b>285.5</b> | <b>137</b>  |
| <b>Absence Ratio</b>  | <b>5.2%</b>  | <b>2.6%</b> |

ONS Public Sector ratio is 3%.

Number of Civil Service Equivalents by Band

The chart below provides the number of senior civil service equivalent staff employed by the RMA.

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

Early Retiral and Severance

In the year to March 2022 there were no staff departures under a voluntary early release arrangement.

Diversity and Equality

The RMA is committed to ensuring equal opportunities for all employees and potential employees. Our Diversity and Equality policy aims to ensure there is no employment discrimination on the grounds of disability, and that access to employment and career development within the RMA is based solely on ability, qualifications and suitability for the role.

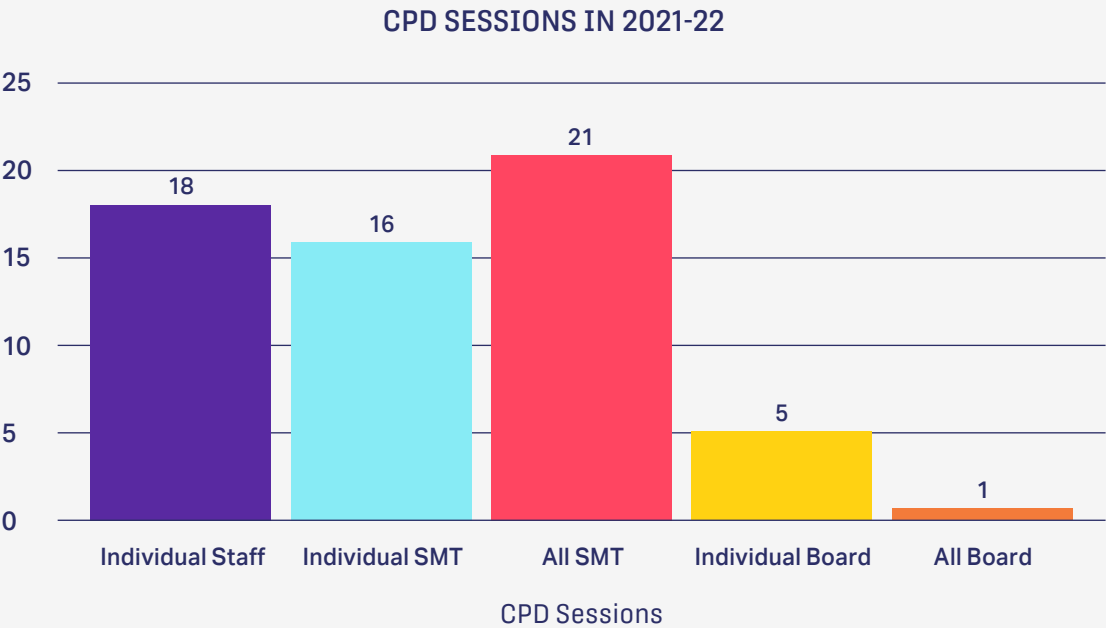
The RMA's current gender pay gap is 31.7%\*, this is a reduction from 36.7% in 2020-21. The RMA is aware of the potential for gender bias to influence recruitment processes and strive to ensure recruitment adverts use neutral language. Several recruitment drives in 2020-21 resulted in one female and one male member of staff joining the team which contributed to reducing this figure.

The RMA is conscious that the UK Government expectation for public bodies' gender pay gap is to be no greater than 16%. Applying national targets to small employers can be misleading as small changes can have huge impacts on rates. For example, changes to two senior male staff members would reduce the RMA's pay gap to 2%. Details of how we continue to meet our obligations can be found in our latest [Mainstreaming Report](#).

Organisational Development

We continue to focus upon being a world-class organisation. We want to make sure that the RMA is a great place to work and attracts and retains the best people. We offer generous Continuing Professional Development (CPD) throughout the year to support our staff to do their work effectively and grow in their role.

In 2021-22, staff attended a range of CPD courses, including globally recognised project management training, Projects in Controlled Environments (PRINCE2). This training supports our staff in developing their management skills to make sure our project work is successful and efficient.



Union Relations

At the RMA we recognise the importance of good industrial relations and effective communication with our staff. Over 2021-22 as we all continued to adapt and respond to new ways of working, the executive directors met regularly with our recognised union, Public and Commercial Services (PCS). We have maintained a high level of engagement with PCS throughout this year and have recently successfully concluded negotiations in connection with pay.



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**PCS MEETINGS**  
In 2021-22, the RMA had 1 Union Representative in the team of 25. The rep attended 4 branch meetings, 6 PCS meetings with RMA and 1 PCS staff meeting.

The RMA is committed to continual improvement. In 2021-22, we have been working closely with PCS on the following policies:

- Menopause Policy
- Domestic Abuse Policy
- Hybrid Policy





**Staff Wellbeing**

Our staff is our greatest asset at the RMA, and our aim is to always provide a safe working environment both for staff and any visitors. We work to ensure compliance with the Health and Safety at Work Act 1974 and other associated legislation, guidance, and standards.

In 2021-22, as we continued to respond to the pandemic, staff continued to work from home. In October, limited office access became available to support staff wellbeing. The RMA have ensured that resources to work from home safely and effectively, including desktop monitors, docking stations, and furniture, are readily available for all staff. Display Screen Equipment (DSE) Assessments both for working from home and in the office are required to be completed. In 2021-22 there have been no health and safety incidents arising from home working.

There was an increase in staff sickness absence from an average of 6.7 days per employee in 2020-21 to 12.8 days in 2021-22, a ratio of 5.26%, with 13.5% of all sickness absences being COVID-19 related. There were several employees off on long-term sick leave which related to both musculoskeletal and mental ill health issues. This is what has significantly increased our absence ratio from 2020-21. Sickness remains significantly higher than the 2021 data published by the Office for National Statistics, reporting a sickness absence ratio of 3%.

We continue to provide support to all staff through the Employee Assistance Service (EAS). EAS offers emotional and practical support in a range of issues through toolkits and trained welfare practitioners. The EAS helpline is available 24-hours-a-day and staff can be referred for 1-2-1 counselling support.

Additionally, we introduced systems to manage and support Vicarious Trauma for our OLR team. Delivered by Lifelink, a nationally renowned organisation providing counselling and wellbeing support services, staff attended both group and individual sessions. The sessions provided RMA staff with proactive access to professional support to better understand and recognise the effects of Vicarious Trauma, in order to take preventative measures and safeguard wellbeing.

**NEW STAFF POLICIES**

In 2021-22 the RMA focused on developing a suite of new wellbeing policies to support staff wellbeing both in the workplace and at home.

**Domestic Abuse Policy**

CIPD, the professional body for HR and people development and our recognised trade union PCS, recommend that organisations have a Domestic Abuse Policy in place, develop an effective framework around domestic abuse support and create open cultures that help to break the silence around this important issue. The RMA has developed this policy to support staff who are experiencing domestic abuse and to signpost to appropriate support services/interventions where appropriate.

**Menopause Policy**

The RMA is committed to ensuring that all individuals are treated fairly and with dignity and respect in their working environment. The RMA will provide appropriate support to women, transgender men, non-binary people, and inter-sex people/people with variations in sex characteristics who are experiencing symptoms associated with the menopause and support line managers by providing guidance.

**Hybrid Policy**

From 31 January 2022, Scottish Government encourage employers to consider the implementation of a hybrid approach to working where workers spend some time in the office and some time at home where that can be done safely. The RMA promote flexible working and hybrid working is now one of the flexible working options available to staff.



## PARLIAMENTARY ACCOUNTABILITY REPORT

### Auditor's Remuneration

The annual accounts of the RMA are audited by an auditor appointed by the Auditor General for Scotland in accordance with Section 13 (c) of the Criminal Justice (Scotland) Act 2003. External audit services for the 2021-22 accounts were £7,550 (£7,425 in 2020- 21) and no additional payments were made to the auditor for non-audit work.

### Political Expenditure

The RMA made no political donations or incurred no political expenditure in the financial year.

### Gifts and Charitable Donations

The RMA made no gifts or charitable donations in the financial year.

### Losses and Special Payments

The RMA incurred no losses or made special payments in the financial year.

### Remote Contingent Liabilities

The RMA had no contingent liabilities in the financial year.



### Mark McSherry

Chief Executive and Accountable Officer

02 December 2022

## INDEPENDENT AUDITOR'S REPORT TO THE MEMBERS OF THE RISK MANAGEMENT AUTHORITY, THE AUDITOR GENERAL FOR SCOTLAND AND THE SCOTTISH PARLIAMENT

### REPORTING ON THE AUDIT OF THE FINANCIAL STATEMENTS

#### Opinion on financial statements

I have audited the financial statements in the annual report and accounts of the Risk Management Authority for the year ended 31 March 2022 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 significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and UK adopted international accounting standards, as interpreted and adapted by the 2021/22 Government Financial Reporting Manual (the 2021/22 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 2022 and of its net expenditure for the year then ended;
- have been properly prepared in accordance with UK adopted international accounting standards, as interpreted and adapted by the 2021/22 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 15 September 2022. This is my first year of appointment. 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 concluded that the use of the going concern basis of accounting in the preparation of the financial statements is appropriate.

Based on the work I have performed, I have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the body's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from when the financial statements are authorised for issue.

These conclusions are not intended to, nor do they, provide assurance on the body's current or future financial sustainability. However, I report on the body's arrangements for financial sustainability in a separate Annual Audit Report available from the Audit Scotland website.

**Risks of material misstatement**

I report in my separate Annual Audit Report the most significant assessed risks of material misstatement that I identified and my judgements thereon.

**Responsibilities of the Accountable Officer for the financial statements**

As explained more fully in the Statement of Accountable Officer's 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 there is an intention to discontinue the body's operations.

**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 decisions of users taken on the basis of these financial statements.

Irregularities, including fraud, are instances of non-compliance with laws and regulations. I design procedures in line with my responsibilities outlined above to detect material misstatements in respect of irregularities, including fraud. Procedures include:

- obtaining an understanding of the applicable legal and regulatory framework and how the body is complying with that framework;
- identifying which laws and regulations are significant in the context of the body;
- assessing the susceptibility of the financial statements to material misstatement, including how fraud might occur; and
- considering whether the audit team collectively has the appropriate competence and capabilities to identify or recognise non-compliance with laws and regulations.

The extent to which my procedures are capable of detecting irregularities, including fraud, is affected by the inherent difficulty in detecting irregularities, the effectiveness of the body's controls, and the nature, timing and extent of the audit procedures performed.

Irregularities that result from fraud are inherently more difficult to detect than irregularities that result 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.

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](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my auditor's report.

**REPORTING 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. In addition to my responsibilities in respect of irregularities explained in the audit of the financial statements section of my report, 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.

**REPORTING ON OTHER REQUIREMENTS**

**Opinion prescribed by the Auditor General for Scotland on audited part of the Remuneration and Staff Report**

I have audited the parts of the Remuneration and Staff Report described as audited. 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.

**Other information**

The Accountable Officer is responsible for the other information in the annual report and accounts. The other information comprises the Performance Report and the Accountability Report excluding the audited part of the Remuneration and Staff Report.

My responsibility is to read all the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or my knowledge obtained in the course of 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 this gives rise to a material misstatement in the financial statements themselves. 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.



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 the Performance Report and Governance Statement to the extent explicitly stated in the following opinions prescribed by the Auditor General for Scotland.

**Opinions prescribed by the Auditor General for Scotland on Performance Report and Governance Statement**

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.

*Liz Maconachie*

**Liz Maconachie, CPFA**  
*Senior Audit Manager*

Audit Scotland  
8 Nelson Mandela Place  
Glasgow G2 1BT  
02 December 2022

**AS IN PREVIOUS YEARS, THE EXPENDITURE  
OF THE RMA FOR THE YEAR 2021-22 IS  
WITHIN THE AGREED BUDGET**



# FINANCIAL STATEMENTS

## Statement of Comprehensive Net Expenditure

For the year ended 31 March 2022

|                            |       | 2021-22      | 2020-21      |
|----------------------------|-------|--------------|--------------|
|                            | Notes | £'000        | £'000        |
| <b>Expenditure</b>         |       |              |              |
| Staff costs                | 2     | 1,389        | 1,168        |
| Other admin costs          | 3     | 353          | 413          |
| <b>Net Operating Costs</b> |       | <b>1,742</b> | <b>1,581</b> |

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

## Statement of Financial Position

As at 31 March 2022

|                                  |              | 2021-22    | 2020-21    |
|----------------------------------|--------------|------------|------------|
|                                  | Notes        | £'000      | £'000      |
| <b>Non-current assets</b>        |              |            |            |
| Property, plant and equipment    | 4            | 57         | 80         |
| Intangible assets                | 5            | 45         | 45         |
| <i>Total non-current assets</i>  |              | <i>102</i> | <i>125</i> |
| <b>Current Assets</b>            |              |            |            |
| Trade and other receivables      | 7            | 14         | 10         |
| Cash and cash equivalents        | 8            | 394        | 418        |
| <i>Total current assets</i>      |              | <i>408</i> | <i>428</i> |
| <b>Total assets</b>              |              | <b>510</b> | <b>553</b> |
| <b>Current liabilities</b>       |              |            |            |
| Trade and other liabilities      | 9            | 266        | 304        |
| <i>Total current liabilities</i> |              | <i>266</i> | <i>304</i> |
| <b>Net Assets</b>                |              | <b>244</b> | <b>249</b> |
| <b>Taxpayers Equity</b>          |              |            |            |
| General Fund – Unallocated       |              | 244        | 249        |
| <b>Total taxpayers equity</b>    | <b>SOCTE</b> | <b>244</b> | <b>249</b> |

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.



**Mark McSherry**  
Chief Executive and Accountable Officer  
02 December 2022

Statement of Cash Flows

For the year ended March 31 2022

|   | Notes | 2021-22<br>£'000 | 2020-21<br>£'000 |
|---|-------|------------------|------------------|
| <b>Cash flows from operating activities</b>                 |       |                  |                  |
| Net operating cost  | SoCNE | (1,742)          | (1,581)          |
| Depreciation  | 4,5   | 27               | 42               |
| <b>Movements in working capital</b>                         |       |                  |                  |
| (Increase)/decrease in trade and other receivables          | 7     | (4)              | (2)              |
| Increase/(decrease) in trade and other payables             | 9     | (38)             | 60               |
| <b>Net cash outflow from operating activities</b>           |       | <b>(1,757)</b>   | <b>(1,481)</b>   |
| <b>Cash flows from investing activities</b>                 |       |                  |                  |
| Purchase of Property, Plant and Equipment                   | 4,5   | (4)              | (58)             |
| Increase/(decrease) in PPE trade and other payables         | 9     | -                | (11)             |
| <b>Net cash outflow from investing activities</b>           |       | <b>(4)</b>       | <b>(69)</b>      |
| <b>Cash flows from financing activities</b>                 |       |                  |                  |
| Scottish Government Grant                                   | SOCTE | 1,737            | 1,639            |
| Net cash flow from financing                                |       | 1,737            | 1,639            |
| <b>Net increase/(decrease) in cash and cash equivalents</b> |       | <b>(24)</b>      | <b>89</b>        |
| Cash and cash equivalents at beginning of period            | 8     | 418              | 329              |
| Cash and cash equivalents at end of period                  | 8     | 394              | 418              |
| <b>Net change in cash and cash equivalents</b>              |       | <b>(24)</b>      | <b>89</b>        |

Statement of Changes in Taxpayers' Equity

For the year ended 31 March 2021

|                                 | Notes       | 2021-22<br>£'000 | 2020-21<br>£'000 |
|---------------------------------|-------------|------------------|------------------|
| <b>General Fund</b>             |             |                  |                  |
| <b>Balance at 1 April</b>       |             | <b>249</b>       | <b>191</b>       |
| Net operating cost for the year | SoCNE       | (1,742)          | (1,581)          |
| Net funding                     |             | 1,737            | 1,639            |
| <b>Balance at 31 March</b>      | <b>SOFP</b> | <b>244</b>       | <b>249</b>       |

NOTES TO THE ACCOUNTS

For the year ended 31 March 2022

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.

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              | 10 Years |
| Furniture & Fittings   | 5 Years  |
| Equipment              | 5 Years  |
| Information Technology | 3 Years  |
| Software               | 3 Years  |



**(c) Intangible Assets**

The threshold for capitalisation of non-current 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 year end have been brought into account irrespective of when actual payments were made.

**(e) Payables**

All material amounts outstanding at year end have been brought into account irrespective of when actual payments were made.

**(f) Income and Government Grants**

Most of the expenditure of the RMA 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:

1. 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 RMA; and
2. Income from the provision of services is recognised when the RMA 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 RMA.

**(g) Operating Leases**

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

**(h) Provisions**

The RMA 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 RMA have pension benefits provided through the Principal Civil Service Pension Scheme (PCSPS). The RMA 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 RMA is unable to identify its share of the underlying assets and liabilities. The scheme actuary valued the scheme as at 31 March 2016. A copy of the actuarial report can be found at

<https://www.civilservicepensionscheme.org.uk/about-us/scheme-valuations/>.

Further details can also be found in the resource accounts of the Cabinet Office at <https://www.civilservicepensionscheme.org.uk/about-us/resource-accounts/>.

During the year ended 31 March 2022, the RMA paid an employer's contribution of £273k (£229k in 2020-21) into the PCSPS at rates between 27.1% to 30.3% of pensionable pay (27.1% to 30.3% in 2020-21). The RMA has been informed employer pension contributions rates for 2022-23 will remain between 27.1% to 30.3%. 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 2022 ranged from 5.45% to 7.35%.

**(j) Effective for future financial years**

There 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. The only such standard currently relevant to the RMA is IFRS 16 – Leases.

IFRS 16 Leases will replace IAS 17 Leases and related interpretations. The effective date for implementation, in the UK Public Sector, is from 1 April 2022 and therefore applies from financial year 2022-23.

The RMA has assessed the likely impact of IFRS 16 on the comprehensive net expenditure and the statement of financial position for 2022-23. This is expected to increase expenditure by £2,189 while the right of use assets to be brought on to SoFP is valued at £79,500 with a lease liability of £79,500.

**(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 AND BOARD COSTS**

Staff costs for 2021-22 were £1,388,981 (2020-21: £1,167,689). Further analysis of these costs are shown within the Accountability Report on page 56 - 65.

**3. OTHER ADMINISTRATIVE COSTS**

|                                | <b>2021-22</b> | <b>2020-21</b> |
|--------------------------------|----------------|----------------|
|                                | <b>£'000</b>   | <b>£'000</b>   |
| Accommodation                  | 68             | 72             |
| Office equipment and furniture | 17             | 8              |
| Research and consultancy       | 21             | 49             |
| IT Support                     | 70             | 51             |
| Training                       | 32             | 63             |
| Legal Fees & Expenses          | 11             | 56             |
| Supplies & Services            | 50             | 7              |
| Stationery                     | 1              | -              |
| Expenses and Travel            | 17             | 5              |
| Other Office Costs             | 17             | 47             |
| Internal Audit Fee             | 6              | 6              |
| External Audit Fee             | 8              | 7              |
| Depreciation                   | 27             | 42             |
| Conferences                    | 8              | -              |
| <b>Total</b>                   | <b>353</b>     | <b>413</b>     |

**4. PROPERTY, PLANT AND EQUIPMENT**

|                                    | <b>Equipment</b> | <b>Information</b> | <b>Furniture</b>      | <b>Total</b> |
|------------------------------------|------------------|--------------------|-----------------------|--------------|
|                                    | <b>£'000</b>     | <b>Technology</b>  | <b>&amp; Fittings</b> | <b>£'000</b> |
| <b>Cost</b>                        |                  | <b>£'000</b>       | <b>£'000</b>          |              |
| <b>Balance at 1 April 2021</b>     | <b>32</b>        | <b>153</b>         | <b>143</b>            | <b>328</b>   |
| Additions                          | -                | 2                  | 2                     | 4            |
| Disposals / Write-downs            | -                | -                  | -                     | -            |
| <b>Balance at 31 March 2022</b>    | <b>32</b>        | <b>155</b>         | <b>145</b>            | <b>332</b>   |
| <b>Depreciation</b>                |                  |                    |                       |              |
| <b>Balance at 1 April 2021</b>     | <b>32</b>        | <b>120</b>         | <b>96</b>             | <b>248</b>   |
| Charge for year                    | -                | 12                 | 15                    | 27           |
| Disposals                          | -                | -                  | -                     | -            |
| <b>Balance at 31 March 2022</b>    | <b>32</b>        | <b>132</b>         | <b>111</b>            | <b>275</b>   |
| <b>NBV at 31 March 2022</b>        | <b>-</b>         | <b>23</b>          | <b>34</b>             | <b>57</b>    |
| NBV at 31 March 2021               | -                | 33                 | 47                    | 80           |
| <b>Analysis of asset financing</b> |                  |                    |                       |              |
| Owned                              | -                | 23                 | 34                    | 57           |
| Finance leased                     | -                | -                  | -                     | -            |
| <b>NBV at 31 March 2022</b>        | <b>-</b>         | <b>23</b>          | <b>34</b>             | <b>57</b>    |

|                                    | <b>Equipment</b> | <b>Information</b> | <b>Furniture</b>      | <b>Total</b> |
|------------------------------------|------------------|--------------------|-----------------------|--------------|
|                                    | <b>£'000</b>     | <b>Technology</b>  | <b>&amp; Fittings</b> | <b>£'000</b> |
| <b>Prior year</b>                  |                  | <b>£'000</b>       | <b>£'000</b>          |              |
| <b>Cost</b>                        |                  |                    |                       |              |
| <b>Balance at 1 April 2020</b>     | <b>32</b>        | <b>111</b>         | <b>127</b>            | <b>270</b>   |
| Additions                          | -                | 42                 | 16                    | 58           |
| Disposals / Write-downs            | -                | -                  | -                     | -            |
| <b>Balance at 31 March 2021</b>    | <b>32</b>        | <b>153</b>         | <b>143</b>            | <b>328</b>   |
| <b>Depreciation</b>                |                  |                    |                       |              |
| <b>Balance at 1 April 2020</b>     | <b>32</b>        | <b>93</b>          | <b>81</b>             | <b>206</b>   |
| Charge for year                    | -                | 27                 | 15                    | 42           |
| Disposals                          | -                | -                  | -                     | -            |
| <b>Balance at 31 March 2021</b>    | <b>32</b>        | <b>120</b>         | <b>96</b>             | <b>248</b>   |
| <b>NBV at 31 March 2021</b>        | <b>-</b>         | <b>33</b>          | <b>47</b>             | <b>80</b>    |
| NBV at 31 March 2020               | -                | 18                 | 46                    | 64           |
| <b>Analysis of asset financing</b> |                  |                    |                       |              |
| Owned                              | -                | 33                 | 47                    | 80           |
| Finance leased                     | -                | -                  | -                     | -            |
| <b>NBV at 31 March 2021</b>        | <b>-</b>         | <b>33</b>          | <b>47</b>             | <b>80</b>    |

5. INTANGIBLE ASSETS

|                                 | Asset Under<br>Construction | Software | Total     |
|---------------------------------|-----------------------------|----------|-----------|
| Cost                            | £'000                       | £'000    | £'000     |
| <b>Balance at 1 April 2021</b>  | <b>45</b>                   | <b>9</b> | <b>54</b> |
| Additions                       | -                           | -        | -         |
| Completed AUC                   | -                           | -        | -         |
| Disposals                       | -                           | -        | -         |
| <b>Balance at 31 March 2022</b> | <b>45</b>                   | <b>9</b> | <b>54</b> |
| <b>Depreciation</b>             |                             |          |           |
| <b>Balance at 1 April 2021</b>  | -                           | 9        | 9         |
| Charge for year                 | -                           | -        | -         |
| Disposals                       | -                           | -        | -         |
| <b>Balance at 31 March 2022</b> | -                           | <b>9</b> | <b>9</b>  |
| <b>NBV at 31 March 2022</b>     | <b>45</b>                   | -        | <b>45</b> |
| NBV at 31 March 2021            | 45                          | -        | 45        |

|                                 | Asset Under<br>Construction | Software | Total     |
|---------------------------------|-----------------------------|----------|-----------|
| Prior year                      | £'000                       | £'000    | £'000     |
| <b>Cost</b>                     |                             |          |           |
| <b>Balance at 1 April 2020</b>  | 45                          | 9        | 54        |
| Additions                       | -                           | -        | -         |
| Completed AUC                   | -                           | -        | -         |
| <b>Disposals</b>                | -                           | -        | -         |
| <b>Balance at 31 March 2021</b> | <b>45</b>                   | <b>9</b> | <b>54</b> |
| <b>Depreciation</b>             |                             |          |           |
| Balance at 1 April 2020         | -                           | 9        | 9         |
| Charge for year                 | -                           | -        | -         |
| <b>Disposals</b>                | -                           | -        | -         |
| <b>Balance at 31 March 2021</b> | -                           | <b>9</b> | <b>9</b>  |
| <b>NBV at 31 March 2021</b>     | <b>45</b>                   | -        | <b>45</b> |
| NBV at 31 March 2020            | 45                          | -        | 45        |

6. FINANCIAL INSTRUMENTS

As the cash requirements of RMA 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 RMA's expected purchase and usage requirements, and therefore RMA is therefore exposed to little credit, liquidity or market risk.

7. TRADE AND OTHER RECEIVABLES

|   | 2021-22   | 2020-21   |
|---|-----------|-----------|
|   | £'000     | £'000     |
| <b>Amounts falling due within one year:</b> |           |           |
| Other receivables – Central Government      | -         | -         |
| Other receivables – External                | 14        | 97        |
| Other receivables – Other Government Bodies | -         | -         |
| Provision for doubtful debts - External     | -         | (87)      |
| <b>Total receivable within 1 year</b>       | <b>14</b> | <b>10</b> |

8. CASH AND CASH EQUIVALENTS

|   | 2021-22    | 2020-21    |
|---|------------|------------|
|   | £'000      | £'000      |
| <b>Balance at 1 April</b>                               | <b>418</b> | <b>329</b> |
| Net change in cash and cash equivalent balances         | (24)       | 89         |
| <b>Balance at 31 March</b>                              | <b>394</b> | <b>418</b> |
| <b>The following balances at 31 March were held at:</b> |            |            |
| Government Banking Service and cash in hand             | 387        | 411        |
| Corporate cash account                                  | 7          | 7          |
| <b>Balance at 31 March</b>                              | <b>394</b> | <b>418</b> |



9. TRADE AND OTHER PAYABLES

|  | 2021-22    | 2020-21    |
|--|------------|------------|
|  | £'000      | £'000      |
| <b>Amounts falling due within one year:</b>            |            |            |
| Other taxation and social security                     | 27         | 29         |
| Trade Creditors – Central Government                   | 30         | 63         |
| Trade Creditors – External                             | -          | 23         |
| Accruals and deferred income – Central Government      | 67         | 55         |
| Accruals and deferred income – External                | 137        | 129        |
| Accruals and deferred income – Other Government Bodies | 5          | 5          |
| <b>Total due within one year</b>                       | <b>266</b> | <b>304</b> |

10. RELATED PARTY TRANSACTIONS

The Scottish Government Justice Department is the sponsor department of the RMA. 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 RMA during the year.

11. COMMITMENTS UNDER LEASES

| Obligations under operating leases comprise:      | 31 Mar 2022 | 31 Mar 2021 |
|---|-------------|-------------|
|   | £'000       | £'000       |
| Buildings:  |             |             |
| Not later than one year                           | 48          | 48          |
| Later than one year and not later than five years | 32          | 80          |
| Later than five years                             | -           | -           |
| <b>Total</b>                                      | <b>80</b>   | <b>128</b>  |

12. SEGMENT REPORTING

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



RISK MANAGEMENT AUTHORITY

DIRECTION BY THE SCOTTISH MINISTERS

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

A member of the staff of the Scottish Ministers

Dated 10 February 2006

**AT THE ROOT OF OUR WORK IS OUR PURPOSE,  
WHICH IS TO REDUCE THE RISK OF SERIOUS  
HARM AND MAKE SCOTLAND SAFER**



## APPENDIX

### APPENDIX A: 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 Scottish Government Community Justice Division and operates to an agreed structure known as a **Sponsorship Framework Agreement**. 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\***

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

**APPENDIX B: 2021-22 WORKING GROUPS**

- MAPPA National Strategy
- MAPPA Development
- Moving Forward Making Changes (MFMC) National Advisory Board
- RMA and SPS OLR Group
- SPS Progression Group
- Social Work Scotland Standing Committee
- Forensic Network Advisory Board
- Forensic Network Research Special Interest Group
- Recover, Renew, Transform: Recovery of Community Justice and Prevention of Offending Group
- HDC Partnership Improvement Group
- National Youth Justice Advisory Group
- LS/CMI Working Group
- LS/CMI System Change Board
- LS/CMI Centralisation Board
- RMA and Parole Board Scotland Working Group
- Victims Organisations Collaboration Forum Scotland



APPENDIX C: GLOSSARY

| Acronym | Full Term  | Definition  |
|---------|--|---|
| CASIC   | Correlates of Admitted Sexual Interest in Children Scale | A 6-item supplement to the C-PORT that can be used when assessors have difficulty rating the item on the C-PORT around sexual interest in children.   |
| JSW     | Justice Social Work                                      | Justice Services whose purpose is to achieve a reduction in re-offending, increase social inclusion of former offenders and support victims of crime.   |
| C-PORT  | Child Pornography Offender Risk Tool                     | A 7-item risk assessment tool designed to predict any sexual recidivism among adult male offenders with a conviction for a child pornography offence.   |
| FGTR    | First Grant of Temporary Release                         | A scheme by which a prisoner may apply to the governor of the institution for temporary release.  |
| FRAME   | Framework for Risk Assessment, Management and Evaluation | The FRAME policy outlined the agreed guiding principles, standards and values that will underpin risk assessment and management in Scotland. This adopted the principles of proportionality, rights and evidence based practice to guide defensible and ethical risk assessment and management. |
| 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.   |
| MFMC    | Moving Forward Making Changes                            | MFMC is a behavioural programme designed to provide treatment for men who commit sexual offences or offences with a sexual element.   |
| 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               | A directory of risk assessment tools intended to assist practitioners identifying and applying appropriate risk assessment tools. Freely accessible on RMA website.   |
| RAR     | Risk Assessment Report                                   | The RAR is a report on the risk the offender being at liberty presents to the safety of the public. The report is completed by an RMA Accredited Risk Assessor.   |
|         | Risk Practice  | Risk assessment and risk management processes.  |
| RMP     | Risk Management Plan                                     | The RMP sets out an assessment of risk, the measures to be taken for the minimisation of risk and how such measures are to be co-ordinated. The plan includes assessment and analysis of factors that may increase or prevent re-offending and gives recommendations for action.                |

7 Thread Street  
Paisley PA1 1JR

0141 278 4478  
info@rma.gov.scot

www.rma.scot

RISK  
MANAGEMENT  
AUTHORITY