



## RMA Business Plan

# 2010/11

*Working towards a Safer Scotland*



**RMA**

Risk Management Authority

## Our Contribution to the Scottish Government's National Objectives



# Mission statement

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

## Terms of reference

This report provides the Risk Management Authority (RMA) Board with an outline of the long-term strategies of the RMA and how, over the next 12 months, we will work to achieve these, while contributing to the Scottish Government's national outcomes.

## Executive summary

The RMA has pinpointed five main 'drivers' of the business that provide the focus for each of our long-term strategies. The drivers are recognised as **Best Practice**, **Research and Innovation**, **Setting the Standard**, **Raising the Standard** and **Improving the Service**. Each activity undertaken by us fits within this framework where we have allocated appropriate Targets and Key Performance Indicators (KPIs).

Our Targets feed into five of the 15 National Outcomes determined by the Government. This report shows how our work is outcome-based and how each target contributes to some or all of the five outcomes.

The business plan, upon which this report is based, will provide a dashboard of information for both the Board and our staff members to align working practices and ensure shared values and goals. It will also provide us with a means of performance measurement through monitoring our progress towards achieving our KPIs.

## Introduction

The RMA has experienced substantial change since its inception in 2005. Transition has remained high on the agenda in 2009 due to changes in our executive team and the conclusion of the Scottish Government's Landscape Review. 2010/11 is time for stability where the RMA can be more focused in our approach to achieving our objectives and ultimately, our outcome-based targets.

Having a small team, each member makes a significant contribution to achieving our objectives. This business plan is therefore crucial in providing us with a framework to understand our roles and to achieve our common goals through various activities.

Our internal and external activities underpin our five strategies. The Targets that we have defined under each strategy ultimately contribute to the following National Outcomes:

National Outcomes of the Scottish Government	
<b>No 3</b>	We are better educated, more skilled and more successful, renowned for our research and innovation
<b>No 8</b>	We have improved the life chances for children, young people and families at risk
<b>No 9</b>	We live our lives safe from crime, disorder and danger
<b>No 14</b>	We reduce the local and global environmental impact of our consumption and production
<b>No 15</b>	Our public services are high quality, continually improving, efficient and responsive to local people's needs

The five strategic sections of this report outline how we will work over the next twelve months through identification of our KPIs, our Targets and which of the National Outcomes these targets contribute to.

## Progress and achievements in 2009/10

Although we have had a very demanding and challenging year, we are able to note some major achievements including:

- We have undergone the Scottish Government's Landscape Review in 2009, the outcomes of which will influence the way we work in the future, mainly, to work more collaboratively with our partners within our expanded remit as outlined in the Management Framework Agreement between the RMA and our sponsor department, the Justice Directorate.
- A new Chief Executive was appointed.
- The organisation has undergone a total restructure and now incorporates a new level of management.
- New policies and procedures have been developed and implemented including a new pay system and HR policies.
- Union recognition and support from PCS.

Progress and achievements in 2009/10 (continued)

- Updated and revised
  - The RMA's Standards and Guidelines
  - RATED<sup>1</sup>
- Submitted for consideration an options paper for the improvement of the Risk Management Plan approval process.
- Our corporate identity has been reviewed.
- Our website has been reworked structurally and in design and content to be more stakeholder-focused and user-friendly.
- We have actively promoted and administered applications for potential accredited assessors. In 2009 we accredited a further four assessors giving us a total of 15.
- Our team has been carrying out a thorough review of the application of SAO7<sup>2</sup> in Scotland by collating (mainly) qualitative data that will underpin the analysis to measure its effectiveness.
- We have provided support to practitioners who risk manage those with OLR<sup>3</sup> sentences (47 to date).
- A new initiative, FRAME<sup>4</sup>, has started and we are building up our library of resources, tools and information to support it.
- The commitment to support the implementation of the LSCMI<sup>5</sup> has continued and has entered in to a new phase of evaluating a pilot of the instrument and making recommendations on training and materials prior to the national implementation.
- The new corporate plan (2010-2013) was approved by the Board.

<sup>1</sup> Risk Assessment Tools Evaluation Directory

<sup>2</sup> Stable and Acute 2007, Harris & Hanson (2007)

<sup>3</sup> Order for Lifelong Restriction

<sup>4</sup> A Framework for Risk Assessment Management and Evaluation that promotes standardisation of a three-tiered approach to risk assessment with corresponding information, tools and methodologies for each tier.

<sup>5</sup> Level of Service/Case Management Inventory, Andrews, Bonta & Wormith (2004)

## Budget 2010/11

We have calculated the budget for the following year based on our expenditure in 2009/10 and from our needs analysis for further investment in critical projects and resources. The total budget forecast for 2010/11 is **£1,023,828**, a decrease of 18% on last year, which reflects the current economic constraints within which we work.

However, we endeavour to ensure a sustainable and effective organisation in 2010/11 with more efficient ways of working and an increase in income generation activities.

The table below demonstrates how the total budget is broken down into three areas comprising staffing costs, administration overheads and development and delivery costs.

Staffing Costs	Budget 2010/11 £s
Staff Salaries	588,624
Board Salaries	51,258
Training & Development	32,481
Travel & Subsistence	28,128
Agency Staff	26,120
<b>Total</b>	<b>726,611</b>
Administration Overheads	Budget 2010/11 £s
Accommodation	92,476
Professional Fees	54,680
Administration	43,860
IT & Telecoms	30,931
Capital	5,000
<b>Total</b>	<b>226,947</b>
Development and Delivery	Budget 2010/11 £s
Conferences & Seminars	26,520
Research Work	38,750
Publications	5,000
<b>Total</b>	<b>70,270</b>

## Strategy 1 (S1)

To promote **Best Practice** in the assessment and management of risk of harm to others

The two RMA activities that underpin Strategy 1 are:

### S11 Supporting Evidence-Based Policy

We work towards achieving best practice through promoting ourselves and ensuring our contribution and influence to policies and practices through stakeholder engagement and critical working parties.

### S12 External Events

Through coordinating national and international conferences, workshops and training events we can work towards promoting best practice to target audiences within the field of risk assessment and risk management.

These Activities are highlighted below with their relevant KPIs and Targets which we have set for the next twelve months. Working towards our annual targets also contributes to the National Outcomes set by the Scottish Government. The relevant outcomes are also shown below.

RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S11 Supporting Evidence-Based Policy	111	Attendance at >80% of meetings requested by national working groups	<b>T11a</b> Contribute to the Reducing Reoffending Programme through membership of national working groups and advise on 1) the review and implementation of policies and 2) research and practice matters					
	112	Evidence of contribution (area of work and level of influence) to project and policy development		✓	✓	✓		✓
	113	Evidence of promotion/adoption of standards and guidelines across agencies working with offender groups						
	114	Evidence of RMA's response to national and international interest in Scotland's approach to risk assessment and risk management	<b>T11b</b> Promote Scotland's reputation as a leader in the field, and ensure a credible authority and profile for the RMA	✓		✓		✓
	115	Evidence of RMA's contribution to risk assessment and risk management literature						
	116	Attendance at >80% of meetings arranged with stakeholders	<b>T11c</b> Foster relationships with stakeholders for collaborative working and cross-cutting initiatives	✓	✓	✓		✓
	117	Evidence of contributions given and received (area of work and level of influence) to project and policy development						
S12 External Events	121	Delivery of one international conference and two seminars (both cost neutral) annually in Scotland	<b>T12a</b> Deliver and host national and international events in Scotland that enhance best practice in Risk Assessment and Management	✓	✓	✓		✓
	122	Delivery and hosting at least nine cost neutral training events annually						

## Strategy 2 (S2)

To promote Scotland as an international leader in **research and innovation** in the field of offender risk assessment and risk management

The Activities that the RMA will undertake to respond to and achieve these targets are:

### S21 FRAME

The development and dissemination of a consistent and shared approach to risk management practice through an ambitious programme of change known as FRAME: a Framework for Risk Assessment, Management and Evaluation<sup>6</sup>.

### S22 LSCMI<sup>7</sup>

Supporting and participating in the national adoption of the LSCMI, a case management inventory, to ensure that it is implemented in a manner consistent with the above FRAME programme.

### S23 SA07<sup>8</sup>

We will deliver an evaluation of the risk assessment tool, Stable and Acute 2007 and its contribution to the management of sex offenders.

### S24 SARA<sup>9</sup>

We will undertake an evaluation of the contribution of SARA to the effective implementation of the Caledonian Programme<sup>10</sup>.

### S25 Research and Evaluation

We will continue to further Scotland's knowledge and expertise of risk assessment and risk management.

These Activities are highlighted below with their relevant KPIs and Targets which we have set for the next twelve months. Working towards our annual targets also contributes to the National Outcomes set by the Scottish Government. The relevant outcomes are also shown below.

RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S21 FRAME	211	Establish fundamental principles and standards of FRAME	T21a Develop a standard framework that promotes and evaluates proportionate, meaningful and purposeful practice in risk assessment and risk management of violent and sexual offenders					
	212	Promote adoption of FRAME by the National Working Group and the Programme Board		✓	✓	✓		✓
	213	Ensure relevant RMA publications and events create awareness of and promote the principles of FRAME						
S22 LSCMI	221	Produce findings of Pilot in interim reports and promote adoption of recommendations	T22a Evaluate the implementation of LSCMI, make recommendations for good practice nationally through identifying the need for amendments to training, materials and recommending quality assurance and support measures					
	222	Review training materials based on findings from Pilot project		✓	✓	✓		✓
	223	Recommend quality assurance mechanisms						

<sup>6</sup> FRAME promotes standardisation of a three-tiered approach to risk assessment with corresponding information, tools and methodologies for each tier

<sup>7</sup> Level of Service/Case Management Inventory, Andrews, Bonta & Wormith (2004)

<sup>8</sup> Stable and Acute 2007, Harris & Hanson (2007)

<sup>9</sup> Spousal Assault Risk Assessment Guide, Kropp, Hart, Webster & Eaves (1999)

<sup>10</sup> Recently (March 2010) accredited intervention that addresses the rehabilitation of perpetrators of domestic violence.

RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S23 SA07	231	Produce interim reports and promote adoption of recommendations	T23a Evaluate the implementation of SA07 for quality improvement measures					
	232	Lead improvement initiatives throughout the life of the project and report		✓	✓	✓		✓
	233	Recommend quality assurance mechanisms						
S24 SARA	241	Participate in Programme Implementation Group	T24a Evaluate the implementation of SARA and its contribution to targeting and planning	✓	✓	✓		✓
	242	Developing a methodology for the evaluation of SARA						
S25 Evaluation and Research	251	Investigate and realise the potential of existing data for research and evaluation to profile OLR offenders, MAPPA, VISOR	T25a Support the growing awareness of the importance of research and evaluation in effective practice	✓	✓	✓		✓
	252	Actively promote the need to use existing research and evaluation in all RMA publications and events						
	253	Investigate existing research standards and develop appropriate RMA research standards	T25b Establish internal research standards and ensure their implementation	✓	✓	✓		✓

## Strategy 3 (S3)

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

The **Activities** that the RMA will undertake to respond to and achieve these targets are related to:

### S31 Accreditations

We will ensure that evidence of a high standard is provided before manners (methods) and persons (Assessors) are accredited by the RMA.

### S32 Quality Assurance of the Risk Assessment Report<sup>11</sup>

We will develop systems to monitor quality to ensure sustained best practice in the preparation of Risk Assessment Reports.

### S33 Quality Assurance of the Risk Management

#### Planning Process<sup>12</sup>

We will maintain an effective and robust process to achieve consistent quality assurance in fulfilling our statutory obligations for the approval of risk management plans<sup>13</sup>.

### S34 Publications

We will produce a portfolio of resources and data that will inform and support practitioners to assure the effectiveness of risk management working practices. In addition we will continue to revise RATED, the Risk Assessment Tools Evaluation Directory and through this and other means provide updated guidance on the development and provenance of the range of internationally available tools.

These Activities are highlighted below with their relevant KPIs and Targets which we have set for the next twelve months. Working towards our annual targets also contributes to the National Outcomes set by the Scottish Government. The relevant outcomes are also shown below.

RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S31 Accreditations	311	Consider and evaluate all applications for accreditation within appropriate timescales and against the agreed criteria and competencies for accreditation and reaccreditation	T31a Manage and maintain an effective and robust process to achieve our statutory obligations under the Accreditation Scheme with regards to Accredited Assessors	✓	✓	✓		✓
	312	Provide an effective mechanism for managing availability and access to Accredited Assessors for the Clerks of Court						
	313	Consider and evaluate (and accredit where applicable), the submission of manners from individual institutions	T31b Manage and maintain an effective and robust process to achieve our statutory obligations under the Accreditation Scheme with regards to Accredited Manners	✓	✓	✓		✓
	314	Promote newly-accredited manners within relevant stakeholder groups to increase the number of institutions demonstrating best practice in risk assessment and risk management						
	315	Retain existing cohort of Accredited Assessors through an excellent support service and promote a professional development framework	T31c Extend geographical and professional representation of the Accredited Assessor cohort	✓	✓	✓		✓
	316	Increase number of accredited assessors to 20, covering an extended geographical area and build upon the competency portfolio of assessors through development support of potential assessors						

<sup>11</sup> The report is the outcome of a Risk Assessment Order made by the High Court where the Court considers the risk criteria of a convicted offender

<sup>12</sup> An annual plan that is developed with expertise and knowledge, approved for the risk management of an offender with an OLR sentence

<sup>13</sup> In addition to being updated and approved every year, plans will also have to be amended and re-approved through the same stringent process to reflect changes in circumstances, eg. change of location of offender



RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S32 Quality Assurance of Risk Assessment Reporting Process	321	Provide advice on standards and guidance to accredited assessors and monitor their compliance	<b>T32a</b> Establish a quality assurance mechanism for risk assessment reports and review performance of assessors in adhering to RMA standards and guidelines					
	322	Develop and pilot a system for quality assurance of risk assessment reports from accredited assessors						
	323	Monitor and record information (some confidential) appropriately for potential application for further research and/or OLR purposes		✓	✓	✓		✓
	324	Facilitate the process of risk assessment orders for accredited assessors by liaising with key stakeholders						
	325	Gather and analyse profile data on offenders subject to RAOs and OLRs to monitor adherence to policy intent of the Criminal Justice Scotland Act 2003						
S33 Quality Assurance of RMP Process	331	Consider and evaluate all risk management plans within statutory timescales and criteria and provide support and direction as appropriate	<b>T33a</b> Maintain an effective and robust process to achieve consistent quality assurance in fulfilling our statutory obligations for the approval of risk management plans					
	332	Clarify the interface between RMP, MAPPA, Parole, SPS and restricted patient processes		✓	✓	✓		✓
	333	Implement outcome of Review of RMP approval process						
	334	Gather and analyse profile data on offenders subject to RAOs and OLRs to support future research						
S34 Publications	341	Evidence of continuous reviews of literature and collation of new material	<b>T34a</b> Develop and maintain a portfolio of publications that reflects the current evidence base and enhances practitioners' knowledge and capabilities to achieve best practice as standard					
	342	Produce Standards and Guidelines to support FRAME						
	343	Publish Assessors' and case Managers' handbooks to support OLR- specific processes in light of revised S&Gs		✓	✓	✓		✓
	344	Produce revised and updated version of the CD ROM						

## Strategy 4 (S4)

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

The **Strategic Activities** that the RMA will undertake to respond to and achieve these targets are:

**S41 Generic Training Activities** to support FRAME  
 We will build our skills development programmes to support and prepare those working within FRAME to exploit its application.

**S42 Tier-Specific Training** to support each Tier of FRAME  
 We will deliver training and development programmes specifically tailored to each of the three tiers of FRAME<sup>14</sup>.

**S43 Information Dissemination**  
 We will extend access to relevant information and data via various channels and media.

These Activities are highlighted below with their relevant KPIs and Targets which we have set for the next twelve months. Working towards our annual targets also contributes to the National Outcomes set by the Scottish Government. The relevant outcomes are also shown below.

RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S41 Training Activities to Support FRAME	411	Define competency specification required to practise within FRAME	T41a Contribute to the design and delivery of national training programmes supporting FRAME					
	412	LSCMI 1) Oversee quality of LSCMI training, based on evaluations and test results, 2) make recommendations for improvement as appropriate 3) Contributing to the development of training materials following the pilot 4) Provide support to trainers						
	413	Applying FRAME CD ROM 1) Disseminate new CD Rom 2) Establish sufficient website structure to host CD ROM content for 2010/11 3) Refresher training for trainers on use of CD ROM		✓	✓	✓	✓	✓
	414	Provide resources to support development of core correctional practices as the foundation of effective supervision to enhance adherence to RNR principles						
	415	Provide trainers who will deliver awareness sessions on the elements of risk assessment as requested						

<sup>14</sup> The three tiers represent three levels of scrutiny, the second and the third dependent on the results of the previous tier's results.

RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S42 Tier-Specific Training for FRAME	421a	Define a skills set required to follow 1st tier of FRAME	<b>T42a</b> Contribute to the design and delivery of training programmes supporting 1st Tier FRAME					
	421b	Promote training in Skills Development Pro-social modelling and legitimacy and brief motivational interviewing		✓	✓	✓		✓
	421c	Promote training in Skills Development Risk Scanning Practice						
	421d	Promote training in Monitoring Practice Skills Development						
	422a	Define a skills set required to follow 2nd tier of FRAME	<b>T42b</b> Contribute to the design and delivery of training programmes supporting 2nd Tier FRAME					
	422b	Develop risk management awareness course from RMPP (Risk Management Planning and Practice) existing materials		✓	✓	✓		✓
	422c	Promote the need for training resources in respect of Responsivity Assessment						
	423a	Define a skills set required to follow 3rd tier of FRAME	<b>T42c</b> Contribute to the design and delivery of national training programmes supporting 3rd Tier FRAME					
	423b	Review and redesign content and delivery of RMPP						
	423c	Provide support on course delivery for SPJ (Structured Professional Judgement) course		✓	✓	✓		✓
	423d	Review and redesign content and delivery of Risk Assessment Report Writing						
	423e	Accredited Assessors Support of CPD of accredited assessors						
	423f	Provide trainers to deliver 1 day awareness sessions on the elements of risk assessment as requested						
	S43 Information Dissemination	431	Improve access to publications via the website and establish monitoring mechanism	<b>T43a</b> Develop effective modes of dissemination for all publications	✓	✓	✓	
432		Establish dialogue with academic and professional institutions to incorporate RMA materials in core curriculum	✓		✓	✓	✓	✓

## Strategy 5 (S5)

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

The **Strategic Activities** that the RMA will undertake to respond to and achieve these targets are:

### S51 Human Resources

We will adhere to our human resource policies and align our activities to the corporate strategies.

### S52 Communications

We will review, update and implement internal and external communication policies and procedures in line with the corporate strategies.

### S53 Information Technology

We will investigate and realise potential in IT applications and exploit its use to support and improve the services we provide.

### S54 Governance and Management

We will enhance systems that facilitate the governance of RMA management processes.

### S55 Finance

We will maximise our capabilities through effective financial management.

### S56 Sustainability

We will work to maintain corporate sustainability for the RMA while ensuring that we reduce our impact on the environment.

These Activities are highlighted below with their relevant KPIs and Targets which we have set for the next twelve months. Working towards our annual targets also contributes to the National Outcomes set by the Scottish Government. The relevant outcomes are also shown below.

RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S51 Human Resources	511	Appraise, review and implement all related policies, structures and pay systems in consultation with representatives	<b>T51a</b> Build a robust HR function that is aligned to the RMA's corporate strategy as an effective organisation and a fair employer					
	512	Review and implement HR procedures and control systems						
	513	Evidence of (annual) feedback on the level of positive working practices and culture		✓		✓		✓
	514	Participation of all staff and Board members in CPD activities identified through the annual performance review						
S52 Communications	521	Review all communications policies and procedures and align with updated communications strategy and branding identity	<b>T52a</b> Establish effective internal communications systems that facilitate and promote a positive team working environment	✓				
	522	Evidence of utilising various internal media effectively to enhance communications						✓

RMA Strategic Activity	KPI Ref No.	Local Key Performance Indicators 2010/11	Local Performance Targets 2010/11	Scottish Government National Outcomes				
				No3	No8	No9	No14	No15
S52 Communications	523	Production of corporate documents and materials within specified timeframes and to new brand identity guidelines	<b>T52b</b> Establish external communication systems that facilitate and promote effective stakeholder engagement					
	524	Increase functionality and use of the website and monitor effectively		✓				✓
	525	Evidence of consistent use of branding policy in all electronic external communications						
S53 Information Technology	531	Introduce an IT solution to support the OLR and Accreditation processes	<b>T53a</b> Realise the potential and exploit IT solutions to support and improve services provided	✓			✓	✓
	532	Increase functionality and use of the website						
S54 Governance and Management	541	Evidence from internal and external assessment of RMA processes	<b>T54a</b> Enhance and improve systems that facilitate the governance of RMA management processes	✓		✓		✓
	542	Timely, accurate and relevant information to be supplied to the Board						
S55 Finance	551	Identify, establish and promote income generating activities in all functional areas	<b>T55a</b> Maximise RMA's capability through effective financial management	✓	✓	✓	✓	✓
	552	Evidence of effective financial control						
S56 Sustainability	561	Adapt relevant policies to reduce impact on the environment and monitor effectively	<b>T56a</b> Establish a culture that supports the environment and its sustainability	✓			✓	✓
	562	Produce long-term robust planning strategies	<b>T56b</b> Ensure the future capability of the RMA	✓	✓	✓	✓	✓

# Conclusion

2010/11 is an exciting yet challenging year for the RMA.

After a period of dramatic transition, structurally and strategically, we are now set for a stable year of progress in achieving our targets within a challenging economic environment.

Our priorities this year are to issue our second version of Standards and Guidelines for practitioners, to ensure that FRAME has been developed, promoted and accepted as best practice, to increase the number of accredited assessors and ensure that the risk management planning process is sustained at a high level. We are also opening up opportunities for income generation in activities such as national conferences and training events.

Corporately, we have recently completed a branding review and will aim to ensure that our working ethos of professionalism, fairness, collaboration and best practice is promoted consistently and comprehensively across all our activities.



*Working towards a Safer Scotland*

**Risk Management Authority**

St James House  
25 St James Street  
Paisley  
PA3 2HQ

Telephone 0141 567 3112  
Fax 0141 567 3111  
email [info@rmascotland.gsi.gov.uk](mailto:info@rmascotland.gsi.gov.uk)

[www.rmascotland.gov.uk](http://www.rmascotland.gov.uk)

