Business Plan

2013-14

RMA
Risk Management Authority

purpose:

make Scotland safer by setting
the standard for risk practice
to reduce reoffending and
the harm that it causes

Contents

Introduction

The Risk Management Authority (RMA) is a non departmental public body (NDPB) funded by the Scottish Government. The RMA was established in 2005 under the Criminal Justice (Scotland) Act 2003, for the purpose of ensuring the effective assessment and minimisation of risk. Our functions involve the communication of best practice, drawing evidence from national and international research and development programmes to improve risk assessment and risk management approaches throughout Scotland.

The RMA Business Plan 2013-14 sets out the priorities and objectives that we have developed for the forthcoming year that will support the delivery of our Corporate Plan 2013-16.

Our corporate plan contains a set of strategic aims that have been developed in alignment with Scottish Government National Outcomes and the Justice Strategy for Scotland. Linking our objectives and strategies in this way ensures that the RMA directly supports the delivery of national policy initiatives and ultimately contributes to the national objective of making Scotland safer and stronger.

This business plan for 2013-14 constitutes the first phase of the RMA's new corporate plan, and we hope the activities we undertake over the next twelve months will provide the foundations for our work over the next three years.

Plan Structure

Section 1 of the business plan outlines our objectives for the year. Our objectives are structured around our three strategies: Strategic Aim 1 concerns risk assessment and management practices; Aim 2 concerns the processes that support the order for lifelong restriction sentence; and Aim 3 relates to our internal processes and governance arrangements. Section 1 details each of these strategic aims in turn and notes the set of objectives we will take forward in 2013-14 that contribute to each.

Section 2 of the business plan outlines the work we will undertake in 2013-14 to facilitate the achievement of our Key Performance Indicators.

In total the business plan contains 56 objectives that will contribute to our strategic aims and 3 objectives to support the achievement of our key performance indicators:

Strategic Aim	No. of Objectives
1	19
2	15
3	23
	57
KPI	No. of Objectives
all	3

Section 1:
Business Plan Objectives 2013-14

Strategic Aim 1

The RMA will advance a shared framework of effective and ethical risk assessment and risk management practice

Strategic Aim 1 concerns our contributions to risk practice. The RMA works closely with partner agencies to develop and promote risk assessment and management practices that are proportionate, meaningful and legitimate. And by supporting the practitioners who work within the field of criminal justice, helping them to carry out their work effectively and consistently, we contribute to our wider purpose of reducing reoffending and the harm that it causes.

Over the next three years we will foster practice that is built upon strong research and evidence by supporting the initial implementation of the Framework for Risk Assessment and Management (FRAME) and the introduction of revised Standards and Guidelines.

Our **Approach** to achieving Strategic Aim 1 will be delivered through three elements.

We will:

A1.1   **Inform policy decisions relating to risk assessment and management with learning from national and international research and practice**

A1.2   **Promote the implementation of evidence based practices through the development of learning, quality assurance and evaluation resources**

A1.3   **Develop and publish standards and guidelines**

The table overleaf outlines the objectives we have devised for 2013-14 that will support the delivery of Strategic Aim 1, and highlights the Strategic Approaches that each objective contributes to.

Business Plan Objectives 2013-14: Strategic Aim 1				
Ref	**Function**	**Objective**	**Strategic Approach supported**	
S1.01	Policy & Research	EEPICS[1] - Conclude development phase to produce training and participant materials	A1.1	A1.2
S1.02	Policy & Research	EEPICS – Develop implementation plan	A1.2	
S1.03	Policy & Research	EEPICS - Initiate two year pilot study	A1.2	
S1.04	Policy & Research	OLR[2] – Conduct research study on the effective implementation of the OLR process	A1.1	A2.5
S1.05	Policy & Research	RMA Risk Practice Course - Deliver Train the Trainer course	A1.2	
S1.06	Policy & Research	Conclude development of Police Risk Practice Process	A1.2	
S1.07	Policy & Research	Scope out pilot study for Police Risk Practice Process	A1.1	A1.2
S1.08	Policy & Research	RMA RMPP[3] course - Develop options analysis of delivery methods, training and course materials and train the trainers event	A1.2	
S1.09	Policy & Research	RATED[4] – Design microsite to communicate publication	A1.2	A1.3
S1.10	Policy & Research	Produce court room skills course for Criminal Justice Social Work practitioners	A1.2	
S1.11	Policy & Research	Contribute to the review of the Memorandum of Procedure and Care Programme approach	A1.1	A1.3
S1.12	Policy & Research	LS/CMI [5]- Contribute to the development of the self evaluation model of LS/CMI practice with Care Inspectorate and ADSW	A1.2	
S1.13	Policy & Research	LS/CMI - Develop national offender profile utilising LS/CMI data	A1.1	
S1.14	Policy & Research	LS/CMI - Publish a learning evaluation report	A1.1	A1.2
S1.15	Policy & Research	LS/CMI - Provide support to mentors	A1.2	
S1.16	Policy & Research	LS/CMI - Establish requirements for changes to the LS/CMI system and practice	A1.1	A1.2
S1.17	Standards & Guidelines	Publish Standards & Guidelines for Risk Management	A1.3	
S1.18	Standards & Guidelines	Publish Standards & Guidelines for Risk Assessment	A1.3	
S1.19	Standards & Guidelines	Contribute to MAPPA guidance, document set and multi agency risk management plan format	A1.2	A1.3

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[1] Enhancing Effective Practice In Community Supervision
[2] Order for Lifelong Restriction
[3] Risk Management Planning and Practice
[4] Risk Assessment Tools Evaluation Directory
[5] Level of Service / Case Management Inventory

Strategic Aim 2

The RMA will assure the quality of practice in the risk assessment and management of offenders subject to an Order for Lifelong Restriction (OLR)

Strategic Aim 2 concerns the application of the OLR sentence in Scotland. A significant function of the RMA is the administration and overview of the processes that support the OLR sentence, hence this strategy outlines the steps we will take to ensure ongoing compliance with the Criminal Justice (Scotland) Act 2003. Through our efforts we want to continuously develop and enhance our processes and provide comprehensive support to practitioners. One element of this support will be our work to produce updated standards, guidelines and guidance for risk assessment and risk management.

Our **Approach** to achieving Strategic Aim 2 will be delivered through five elements.

We will:

A2.1 **Administer the accreditation process and evaluate performance to ensure assessors have regard to our standards and guidelines and comply with the code of conduct**

A2.2 **Support and guide lead authorities in the preparation of risk management plans**

A2.3 **Ensure risk management plans comply with legislation and have regard to our standards and guidelines**

A2.4 **Evaluate the implementation of approved risk management plans**

A2.5 **Collate and analyse data on the application of the order for lifelong restriction to inform policy and practice**

The table overleaf outlines the objectives we have devised for 2013-14 that will support the delivery of Strategic Aim 2, and highlights the Strategic Approaches that each objective contributes to.

Business Plan Objectives 2013-14: Strategic Aim 2

Ref	Function	Objective	Strategic Approach supported	
S2.01	Legislation	Review Criminal Justice Act provisions to consider amendments	A2.5	
S2.02	Quality Assurance	Review quality assurance mechanisms for the OLR processes (RMP[6]) in line with new Standards & Guidelines for Risk Management	A2.3	
S2.03	Quality Assurance	Review quality assurance mechanisms for the OLR processes (AIR[7]) in line with new Standards & Guidelines for Risk Management	A2.4	
S2.04	Quality Assurance	Implement a revised accreditation process including an updated code of conduct for accredited assessors	A2.1	
S2.05	Quality Assurance	Increase the number of RAR[8]s reviewed for quality assurance	A2.1	
S2.06	Quality Assurance	Review quality assurance mechanisms for RARs in line with new Standards & Guidelines for Risk Assessment	A2.1	
S2.07	Guidance	Support Lead Authorities in their compliance with revised Standards & Guidelines	A2.2	
S2.08	Guidance	Monitor guidance provided to lead authorities to facilitate improvements to practice and inform ongoing development of Standards & Guidelines	A2.2	
S2.09	Guidance	Develop a tracking system to record information provided to case managers, to inform ongoing development of Standards & Guidelines and web based support	A2.2	
S2.10	AIR	Reduce timescales for evaluation of AIRs	A2.4	
S2.11	RMP	Facilitate approval of RMP's to legislative timescale	A2.3	
S2.12	I.T.	Migrate current OLR records to new OLR case management system	A2.5	A3.4
S2.13	I.T.	Assess reporting capabilities of the new case management system	A2.5	A3.4
S2.14	I.T.	Implement Accreditation module of the case management system	A2.5	A3.4
S2.15	I.T.	Migrate current Accreditation records to new module and test system	A2.5	A3.4

[6] Risk Management Plan
[7] Annual Implementation Report
[8] Risk Assessment Report

Strategic Aim 3

The RMA will ensure our decisions are defensible and our processes are administered with integrity

Strategic Aim 3 outlines the approach and governance structures we will develop to ensure we deliver services to a high standard. We continually make improvements to our internal processes and procedures, which gives strength to our decision making and aids the efficiency and effectiveness of the RMA as a whole. As a public body we want to promote open and inclusive working practices within an approach that is straightforward and accountable. In practice, our work over the next three years under this strategy will include evaluating how we do things operationally; thinking about how we manage and make best use of our resources, and introducing new ways of engaging with partners.

Our **Approach** to achieving Strategic Aim 3 will be delivered through four elements.

We will:

A3.1   **Continually improve decision making processes to ensure good governance, transparency and fairness**

A3.2   **Manage resources effectively and promote a learning culture in all that we do**

A3.3   **Develop our communication systems to enhance dissemination of our work and collaboration with stakeholders**

A3.4   **Continually develop and enhance our performance management systems**

The table overleaf outlines the objectives we have devised for 2013-14 that will support the delivery of Strategic Aim 3, and highlights the Strategic Approaches that each objective contributes to.

Business Plan Objectives 2013-14: Strategic Aim 3				
Ref	**Function**	**Objective**	**Strategic Approach supported**	
S3.1	Governance	Create a Records Management Plan	A3.4	
S3.2	Governance	Revise Scheme of Delegation and Committee Terms of Reference	A3.1	
S3.3	Governance	Create RMA Standing Orders	A3.1	
S3.4	Governance	Develop Board member Governance Handbook	A3.1	
S3.5	Governance	Widen application of Assurance Statements	A3.1	
S3.6	Governance	Review Board Appraisal System	A3.4	
S3.7	Governance	Review RMA complaint handling procedure	A3.1	
S3.8	Finance	Review and enhance procurement process	A3.1	
S3.9	Finance	Review and enhance contract management process	A3.1	
S3.10	I.T.	Transfer RMA records to digital format	A3.2	
S3.11	I.T.	Conduct appraisal of case management system	A3.2	
S3.12	I.T.	Develop I.T. strategy to inform usage and administration of RMA resources	A3.1	A3.3
S3.13	Human Resources	Conduct equal pay audit of staff pay system	A3.4	
S3.14	Human Resources	Transfer staff records to digital HR system	A3.2	
S3.15	Human Resources	Implement revised staff appraisal system	A3.2	
S3.16	Human Resources	Review and enhance absence management processes	A3.1	A3.2
S3.17	Human Resources	Investigate partnership arrangements with local education establishments on the provision of opportunities for young people	A3.2	
S3.18	Human Resources	Explore the implications of engaging volunteer workers	A3.2	
S3.19	Communication	Develop a communications strategy and update media policy	A3.3	
S3.20	Communication	Conduct stakeholder mapping exercise	A3.3	
S3.21	Communication	Establish and implement a regular stakeholder survey system	A3.3	
S3.22	Estates / Property	Agree new lease arrangements for RMA premises	A3.1	
S3.23	Estates / Property	Implement plan to support new lease arrangement	A3.1	

Section 2

KPI Objectives 2013-14

The RMA recognises the importance of continually seeking ways to improve how we deliver our functions. To this end the RMA Corporate Plan 2013-16 contains a set of 9 key performance indicators (KPIs) which are detailed in the table below. These were devised to help us measure and evaluate how successful we are at managing our resources and delivering services of a high standard.

Key Performance Indicators 2013-2016	2013-14	2014-15	2015-16
1 Number of Accredited Assessors required to service High Court demand	15-20	15-20	15-20
2 Quality Assurance Tests on sample of Risk Assessment Reports	30%	35%	35%
3 Risk Management Plans approved in accordance with statutory timeframes	100%	100%	100%
4 Staff evaluation of Annual Implementation Reports	8 weeks	7 weeks	6 weeks
5 RMA led Improvements to Practice - Stakeholder Satisfaction Rating	70%	75%	80%
6 RMA support provision to current practice - Stakeholder Satisfaction Rating	70%	75%	80%
7 Staffing Levels	14	15	15
8 Staff absenteeism rate	3.50%	3.30%	3.10%
9 Financial Expenditure	£1,312,000	£1,176,000	£1,193,000

We have set ourselves 3 objectives for 2013-14 to support the delivery of these KPIs. All three of our objectives for this year are focussed on ensuring the RMA has the necessary systems and structures in place to facilitate the ongoing achievement of our KPIs.

KPI Objectives 2013-14	
1.	Review the roles and responsibilities within the OLR function to enable the achievement of our Corporate Plan KPIs.
2.	Implement systems and procedures that will enable data gathering of stakeholder engagement levels.
3.	Review current absence management procedures and develop new structures that support the attainment of Corporate Plan KPIs.

Budget 2013-14

The financial budget which supports the Business Plan accounts for all expected operating costs for the financial period covered by the plan. The budget costs are:

Year	Budget
2013-14	£1,311,759

Income	Budget 201 3-14 £s
Conferences	29,000
Total	29,000
Staffing Costs	
Staff Salaries	592,212
Board Salaries	50,768
Recruitment & Development	13,000
Travel & Subsistence	22,000
Total	677,981
Accommodation & Infrastructure	
Accommodation	170,120
IT & Telecoms	36,123
Total	206,242
Administration Overheads	
Professional Fees	59,000
Administration	47,180
Total	106,180
Capital Investment	
Capital Investment Equipment	5,000
Capital Investment Buildings	150,000
Capital Investment Furniture & Fittings	45,000
Total	200,000
Development & Delivery	
Conferences and Seminars	29,000
Research Work	20,000
LS/CMI support	101,356
Total	150, 356
Total Operating Costs	1,340,759
Total Budget Allocation	1,311,759

Conclusion

Our business plan for the next twelve months contributes directly to the achievement of our corporate targets. April 2013 marks the beginning of a new corporate planning period for the RMA, with a three year plan devised by our Board that outlines the authority's purpose and strategic aims. This business plan therefore contains our objectives for 2013-14 that will set in place the ongoing achievement of the RMA's Corporate Plan 2013-16.

Communications and how we interact with others is a common thread through our activities for this year. From the introduction of new interactive elements for our website, to our delivery of publications such as rated, to our development of new learning resources for practitioners, across all our functions we will seek to refine and enhance our methods of communication.

And by supporting our colleagues who work within the field of criminal justice, helping them to carry our their roles effectively, we will contribute to our wider purpose: to make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes.

Glossary

Acronym	Full Term	Definition
ADSW	Association of Directors of Social Work	Professional association representing senior social work managers in local government in Scotland
EEPICS	Enhancing Effective Practice In Community Supervision	RMA developed programme
FRAME	Framework for Risk Assessment, Management and Evaluation	RMA-developed structured and shared approach to risk practice
LS/CMI	Level of Service / Case Management Inventory	Risk Assessment Tool and case management system
MAPPA	Multi Agency Public Protection Arrangement	Community Management of Offenders
NDPB	Non-Departmental Public Body	A public organisation that is self-governing but accountable to and funded by Government
OLR	Order for Lifelong Restriction	Sentence providing for lifelong management of high risk violent and sexual offenders. Requires implementation and review of an RMA approved risk management plan for offenders in custody and in the community. Includes a punishment part, spending minimum period in secure custody
RATED	Risk Assessment Tool Evaluation Directory	RMA-produced Directory of Risk Assessment Tools