Risk Management Authority

Business Plan
2014-15

RMA
Risk Management Authority
Working towards a Safer Scotland

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 2014-15 sets out the priorities and objectives that have been defined for the forthcoming year. It outlines the key tasks we aim to achieve and provides the structure for all of our organisational activities.

Our corporate plan 2013-16 contains a set of strategic aims that have been developed in alignment with Scottish Government National Outcomes and the Justice Strategy for Scotland. By linking our corporate objectives and strategies in this way we ensure that the RMA directly supports the delivery of national policy initiatives and ultimately contributes to the national objective of making Scotland safer and stronger.

Plan Structure

The business plan outlines our objectives for the year, which 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. Each of these strategic aims are supported by a set of objectives to be taken forward in 2014-15.

In total the business plan contains 18 objectives that will contribute to our strategic aims:

Strategic Aim	No. of Objectives
1	6
2	4
3	8
total	**18**

Business Plan Objectives 2014-15

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 2014-15 that will support the delivery of Strategic Aim 1, and highlights the Strategic Approaches that each objective contributes to.

Business Plan Objectives 2014-15: Strategic Aim 1

Objective 1: FRAME Policy

Summary:
In 2014-15, in conjunction with other objectives, the RMA will also continue to support key partners to advance the aim of consistent, defensible and ethical risk practice articulated in FRAME.

Ref	Objective milestones	Strategic Approach supported	
S1.01	Support / advise Scottish Government Safer Communities Division on the consultation on extension of MAPPA to other categories of offender.	A1.1	
S1.02	Support/ advise Police Scotland in their consideration of a pilot study for the Police Risk Practice course	A1.1	
S1.03	Support / advise Scottish Government Restricted Patients Branch and Forensic Network on the development of the MOP and CPA	A1.1	
S1.04	Support / advise High Risk Champions Group in Centre for Youth and Criminal Justice on issues specific to young people who pose a risk of serious harm	A1.1	

Objective 2: Learning & Development

Summary:
The RMA will work with stakeholders to develop learning and development resources, to continue to advance the aim of consistent, defensible and ethical risk practice articulated in FRAME. A priority for 2014-15 is the dissemination of two levels of risk practice training.

Ref	Objective milestones	Strategic Approach supported	
S1.05	Establish with ADSW learning and development requirements for risk practice	A1.2	
S1.06	Conclude and disseminate 'the fundamentals of risk practice'	A1.2	
S1.07	Conclude and disseminate 'risk management planning and practice'	A1.2	

Objective 3: Standards & Guidelines

Summary:
Building upon the revision of the Standards & Guidelines for Risk Management, in 2014/15, we will respond to initial experience and make appropriate refinements. Also drawing on the learning from implementation since 2006, the RMA will revise the Standards & Guidelines for Risk Assessment; working with stakeholders to develop updated guidance for risk assessors.
To advance the aims of FRAME we will work with key stakeholders to ensure that the principles and standards are applied in the wider field, principally the MAPPA guidance and the Throughcare Assessment for Release Licence (TARL) Report.

Ref	Objective milestones	Strategic Approach supported	
S1.08	Drawing on feedback from Lead Authorities, members and staff refine Risk Management S&Gs in light of 6 months implementation	A1.3	

S1.09	Revise draft Standards & Guidelines for Risk Assessment	A1.3	
S1.10	Assess publication options for Standards & Guidelines for Risk Assessment and Risk Management	A1.3	
S1.11	Act on the implications of the review of quality assurance processes for AIR & RMP (in line with Objective 8)	A1.3	
S1.12	Develop new methods of analysing quality of RMP/AIR submissions	A1.3	
S1.13	Produce final draft for Committee consideration	A1.3	
S1.14	Issue Standards & Guidelines for consultation	A1.3	
S1.15	Update Standards and Guidelines following consultation	A1.3	
S1.16	Publish revised Standards & Guidelines	A1.3	
S1.17	Review the draft Throughcare Assessment for Release Licence (TARL) Report	A1.1	
S1.18	Contribute to development of MAPPA guidance	A1.1	
S1.19	Present to MAPPA National Strategy Group	A1.1	

Objective 4: Enhancing Effective Practice In Community Supervision: EEPICS

Summary:
In 2014/15 the RMA will build upon the development phase of EEPICS which concerned the production of training and participant learning materials, to finalise those materials and then take forward the implementation stage of the project across Scotland. This year will mark the development of the implementation plan that will guide the EEPICS project and the initiation of the pilot study in selected CJSW Areas.

Ref	Objective milestones	Strategic Approach supported	
S1.20	Finalise training materials	A1.1	A1.2
S1.21	Develop implementation plan	A1.1	A1.2
S1.22	Establish project management board	A1.1	A1.2
S1.23	Provide information on the content of EEPICS and highlight the implications of being a pilot to CJSW	A1.1	A1.2
S1.24	Develop research plan	A1.1	A1.2
S1.25	Develop selection process for pilot sites in conjunction with ADSW	A1.1	A1.2
S1.26	Establish processes and training plan to support implementation	A1.1	A1.2
S1.27	Select pilot sites	A1.1	A1.2
S1.28	Commence pilot study	A1.1	A1.2

Objective 5: Level of Service / Case Management Inventory: LS/CMI

Summary:
In 2014/15 the RMA will continue to provide support to the application of LS/CMI across Scotland through data analysis, publication of formal reports, and the development of quality assurance and support systems, including I.T.

Ref	Objective milestones	Strategic Approach supported	
S1.29	Obtain reconviction data to support validation of LS/CMI in Scotland	A1.1	A1.2
S1.30	Implement revised engagement methods with CJSW on the provision of clinical and IT support	A1.1	A1.2
S1.31	Develop national capacity to deliver clinical and IT support – LS/CMI mentors and training support officers	A1.1	A1.2
S1.32	Contribute to the final report of the LS/CMI supported self-evaluation exercise	A1.1	A1.2
S1.33	Review LS/CMI supported self-evaluation report to inform the development of quality assurance methods	A1.1	A1.2
S1.34	Negotiate with Scottish Government and other key partners to establish support mechanisms for the on-going development of the LS/CMI IT system	A1.1	A1.2
S1.35	Host LS/CMI mentors event to support the publication of the national report	A1.1	A1.2
S1.36	Identify opportunities to advance awareness of the value of LS/CMI data	A1.1	A1.2

Objective 6: Moving Forward Making Changes (MFMC)

Summary:
The RMA will support the implementation of the MFMC project across Scotland, with designated staff assigned to the development of key practice methods.

Ref	Objective milestones	Strategic Approach supported	
S1.37	Establish data collection and evaluation mechanisms	A1.2	
S1.38	Co-ordinate the delivery of clinical support to local practitioners	A1.2	
S1.39	Establish quality assurance and project management mechanisms	A1.2	
S1.40	Collaborate with key partners locally and in national groups: project implementation board and treatment managers forum	A1.2	

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 on-going 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 2014-15 that will support the delivery of Strategic Aim 2, and highlights the Strategic Approaches that each objective contributes to.

Business Plan Objectives 2014-15: Strategic Aim 2

Objective 7: OLR: Policy and Advice

Summary:
The RMA will engage with relevant stakeholders regarding a review of the application of the OLR and will formulate advice and where appropriate make recommendations to Scottish Ministers. In addition the RMA will draw on eight years of experience of administering OLR related processes and work with Scottish Government to enhance the implementation of the policy.

Ref	Objective milestones	Strategic Approach supported	
S2.01	Work with Scottish Government to consider secondary legislation changes	A2.5	
S2.02	Submit log of proposed changes to RMA Board	A2.5	
S2.03	Consider whether changes will require consultation with key partners	A2.5	
S2.04	Monitor progress to ensure Standards & Guidelines and other processes and documentation reflect changes	A2.5	
S2.05	Commence liaison with key partners to review primary legislation matters for example, application of OLR to young people; risk criteria; desirability of review mechanism	A2.5	
S2.06	Board to consider recommendations of liaison with key partners	A2.5	
S2.07	Submit paper to Scottish Ministers giving advice and recommendations	A2.5	
S2.08	Engage with Scottish Government to identify timescales and process to implement any subsequent changes	A2.5	

Objective 8: Quality Assurance

Summary:
To ensure that standards are maintained, in 2014-15 the RMA will update and review the quality assurance mechanisms that reinforce the application of Standards and Guidelines. This will include an early review of the implementation of the Risk Management S&Gs, an interim review of quality assurance processes supporting RMP and AIRs, and a full appraisal of quality assurance processes required to support revised Standards and Guidelines for Risk Assessment.

Ref	Objective milestones	Strategic Approach supported	
S2.09	Conduct an interim review of quality assurance processes for risk management planning and annual implementation reports	A2.3	S2.09
S2.10	Submit paper to RMP Approval Committee on the review	A2.3	
S2.11	Monitor and support the development of standards & guidelines for risk assessment	A2.1	
S2.12	Identify implications for quality assurance processes on risk assessment reports	A2.1	
S2.13	Revise quality assurance process	A2.1	
S2.14	Submit paper to Accreditation Committee on review	A2.1	

Objective 9: Information Technology

Summary:
The case management system that supports the delivery of the OLR process will continue to be developed, with an emphasis placed upon reporting capabilities.

Ref	Objective milestones	Strategic Approach supported	
S2.15	Populate historical case management records	A2.5	A3.4
S2.16	Commence application of case management system	A2.5	A3.4
S2.17	Review case management reporting performance and identify development needs	A2.5	A3.4
S2.18	Populate current accreditation records	A2.1	A3.4
S2.19	Commence application of accreditation module	A2.1	A3.4
S2.20	Review accreditation module reporting performance and identify development needs	A2.1	A3.4

Objective 10: Application of the OLR

Summary:
The RMA aims to continuously improve OLR processes through the identification of learning opportunities. In 2014-15 the RMA will focus on reviewing the systems and processes engaged when releasing an OLR offender into the community.

Ref	Objective milestones	Strategic Approach supported	
S2.21	Liaise with stakeholders and track issues relating to potential and actual release of OLR offenders into the community	A2.2	
S2.22	Identify learning points	A2.2	
S2.23	Submit paper to Risk Management Plan Approval Committee	A2.2	

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 2014-15 that will support the delivery of Strategic Aim 3, and highlights the Strategic Approaches that each objective contributes to.

Business Plan Objectives 2014-15:   Strategic Aim 3

Objective 11: Procurement

Summary:
In 2014/15, the RMA will seek to improve its procurement decision making through the up skilling of staff and a review of procurement activity.

Ref	Objective milestones	Strategic Approach supported	
S3.01	Establish professional procurement support for complex projects	A3.1	A3.2
S3.02	Complete revision of procurement policies and procedures	A3.1	A3.2
S3.03	Implement new procurement arrangements	A3.1	A3.2

Objective 12: Estate Management

Summary:
To support the relocation to new office premises, the RMA will establish appropriate arrangements, structures and processes to ensure effective estate management.

Ref	Objective milestones	Strategic Approach supported	
S3.04	Identify duties / functions required to support estate management	A3.2	
S3.05	Allocate estate management duties to staff	A3.2	
S3.06	Award estate management functions to suppliers	A3.2	
S3.07	Develop estate management desktop instructions	A3.2	

Objective 13: Human Resources

Summary:
The RMA recognises the prime contributor to organisational effectiveness is staff. In 2014-15 the RMA will aim to improve staff well-being and engagement, and cultivate a supportive team culture.

Ref	Objective milestones	Strategic Approach supported	
S3.08	Establish staff counselling service	A3.2	A3.4
S3.09	Conduct appraisal of current team culture		
S3.10	Develop staff survey	A3.2	A3.4
S3.11	Initiate survey	A3.2	A3.4
S3.12	Implement agreed outcomes		

Objective 14: Communication

Summary:
The RMA will review internal communication processes to better inform staff and support effective team work.

Ref	Objective milestones	Strategic Approach supported	
S3.13	Appraise current internal communication processes	A3.2	A3.3
S3.14	Consider alternative communication methods	A3.2	A3.3
S3.15	Agree new internal communication processes and update relevant communications policy	A3.2	A3.3
S3.16	Implement new internal communications system	A3.2	A3.3

Objective 15: Governance

Summary:
The RMA will continue to develop governance systems through an on-going review of current practice. In 2014-15 the RMA will aim to implement auditor recommendations, evaluate a benchmarking framework; and review desktop instructions to minimise risk to effective performance.

Ref	Objective milestones	Strategic Approach supported	
S3.17	Develop an implementation plan for auditor recommendations	A3.1	A3.4
S3.18	Implement auditor recommendations	A3.1	A3.4
S3.19	Submit assessment report to Audit Committee on the benchmarking framework	A3.1	A3.4
S3.20	Communicate complaints handling procedure to staff	A3.3	A3.4
S3.21	Review desktop instructions for all administrative functions	A3.1	A3.4

Objective 16: Information Management

Summary:
In 2014/15 the RMA will implement new records management procedures which enhance our systems for handling information; and investigate methods to support secure and effective communications with Board members

Ref	Objective milestones	Strategic Approach supported	
S3.22	Train staff on compliance with approved Records Management Plan	A3.1	A3.2
S3.23	Develop ERDM file plan	A3.1	A3.2
S3.24	Train staff in ERDM	A3.1	A3.2
S3.25	Implement ERDM	A3.1	A3.2
S3.26	Identify models to provide accessible, secure and effective communication with Board members	A3.2	A3.3

Objective 17: Information Technology (I.T.) Strategy

Summary:
In 2014-15 the RMA will develop an IT strategy which supports the future needs of the organisation, and conduct a review of website technologies to increase cost effective engagement with stakeholders

Ref	Objective milestones	Strategic Approach supported	
S3.27	Develop website strategy	A3.3	
S3.28	Review the content, design and navigation of the RMA website	A3.3	
S3.29	Develop IT strategy to deliver future requirements	A3.1	A3.2
S3.30	Appraise overall effectiveness of current corporate IT systems	A3.1	A3.2
S3.31	Identify alternative IT solutions	A3.1	A3.2
S3.32	Prepare initial recommendation report for Board	A3.1	A3.2

Objective 18: Responding to the redesign of community justice

Summary:
In December 2013 the Scottish Government announced the outcome of its consultation on redesigning the community justice system. In 2014/15 the RMA will contribute to the 'redesign of community justice' policy and ensure the RMA is appropriately placed to support the new arrangements.

Ref	Objective milestones	Strategic Approach supported	
S3.33	Formulate response to the second 'redesign of community justice' consultation paper	A3.2	
S3.34	Establish representation on relevant working groups	A3.2	

Budget 2014-15

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
2014-15	£1,259,000

Income	Budget 2014-15 £s
Conferences	12,000
Total	**12,000**
Staffing Costs	
Staff Salaries	829,275
Board Salaries	51,276
Recruitment & Development	15,000
Travel & Subsistence	22,000
Total	**917,551**
Accommodation & Infrastructure	
Accommodation	91,953
IT & Telecoms	57,200
Total	**149,153**
Administration Overheads	
Professional Fees	119,000
Administration	38,296
Total	**157,296**
Capital Investment	
Capital Investment Equipment	35,000
Total	**35,000**
Development & Delivery	
Conferences and Seminars	12,000
Total	**12,000**
Total Operating Costs	**1,271,000**
Total Budget Allocation	**1,259,000**

Conclusion

This business plan contains our objectives for 2014-15 that will set in place the on-going achievement of the RMA's Corporate Plan 2013-16.

Over the next twelve months we will look to advance our aim of developing a shared framework of effective and ethical risk assessment and risk management practice through objectives that include building upon the contributions we have made to LS/CMI practice; developing revised Standards and Guidelines for Risk Assessment; delivering the implementation phase of EEPICS; and expanding our support to the national Moving Forward Making Changes programme.

In 2014-15 work will also continue to assure the quality of practice in the risk assessment and management of offenders subject to an OLR by conducting a review of the application of the sentence.

Our recent move to new premises has presented an opportunity to further enhance our governance systems, with objectives planned for this year including a review of our procurement decision making, estate management functions and internal communication strategies.

Overall we present this business plan that we believe fulfils our legislative duties, builds upon our achievements to date and further contributes to the RMA's overall 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
RMP	Risk Management Plan	Required by law for an offender subject to an OLR, approved by the Risk Management Authority. A Risk Management Plan is prepared by the lead authority.

PURPOSE	To focus government and public services on creating a more successful country, with opportunities for all of Scotland to flourish, through increasing sustainable economic growth.			
NATIONAL OUTCOMES	We live our lives safe from crime, disorder and danger		Our public services are high quality, continually improving, efficient and responsive to local people's need	
JUSTICE OUTCOMES	We experience low levels of crime	We experience low levels of fear, alarm and distress	We have high levels of confidence in justice institutions and processes	Our institutions and processes are effective and efficient
PRIORITIES	Reducing crime, particularly violent and serious organised crime	Reducing reoffending	Widening access to justice and advancing law reform	Increasing public confidence and reducing fear of crime

PURPOSE	make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes		
STRATEGIC AIMS	The RMA will advance a shared framework of effective and ethical risk assessment and management practice	The RMA will assure the quality of practice in risk assessment and management of offenders subject to an Order for Lifelong Restriction (OLR)	The RMA will ensure our decisions are defensible and our processes are administered with integrity
APPROACH	Inform policy decisions relating to risk assessment and management with learning from national and international research and practice. Promote the implementation of evidence based practices through the development of learning, quality assurance and evaluation resources Develop and publish Standards and Guidelines	Administer the accreditation process and evaluate performance to ensure assessors have regard to our standards and guidelines and comply with the code of conduct Support and guide Lead Authorities in the preparation of Risk Management Plans Ensure Risk Management Plans comply with legislation and have regard to our Standards and Guidelines Evaluate the implementation of approved Risk Management Plans Collate and analyse data on the application of the order for lifelong restriction to inform policy and practice	Continually improve decision making processes to ensure good governance, transparency and fairness Manage resources effectively and promote a learning culture in all that we do Develop our communication systems to enhance dissemination of our work and collaboration with stakeholders Continually develop and enhance our performance management systems
Business Plan Objectives	Objectives for 2014-15 FRAME Policy Learning & Development Standards & Guidelines EEPICS LS/CMI MFMC	Objectives for 2014-15 OLR Policy and advice Quality Assurance Information Technology Application of the OLR	Objectives for 2014-15 Procurement Estate Management Human Resources Communication Governance Information Management Information Technology Responding to the redesign of community justice

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