

Annual Report and Accounts

2012-13

Working towards a Safer Scotland



RMA

Risk Management Authority

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Introduction

Convener's Foreword



As Convener of the Risk Management Authority (RMA) I have the pleasure of introducing this annual report and accounts for 2012-13. This year has been one of transition, as the corporate strategies in place for 2010-13 were delivered and new strategies and targets for the coming three years were developed. In the report that follows we outline in detail

the key activities and achievements of the past twelve months and our financial performance against our budgets. We also set out our strategic intent for the coming three years.

Before proceeding further, I have, with great sadness, to report that one of our Board members, Mr. Peter Withers, died in August 2012. Peter joined the Board with me in 2006 and immediately brought to bear his extensive knowledge and experience. He served the RMA with unstinting energy and ability and I am personally grateful to him for his loyal support and for the very great contribution he made to the RMA. Peter was a man of remarkable personality, character and generosity, and he is greatly missed by Board members and staff alike.

The RMA is a non-departmental public body (NDPB), funded by the Scottish Government and sponsored by the Parole Unit of the Justice Directorate. Our functions include support of the work of those statutory bodies involved in the assessment and management of the risk posed by violent and sexual offenders. We do this by setting the standards for risk practice and by contributing to national programmes and initiatives.

Details of our main activities for the year are included in this report. They include important achievements recorded against our Business Plan 2012-13 such as the development of revised standards and guidelines for risk management; the establishment of a new implementation group to take forward the initiatives developed under FRAME; and our delivery of wide ranging support to the implementation of the LS/CMI risk assessment and case management system across Scotland's Criminal Justice Social Work and Prison Service, with learning evaluation reports produced and quality assurance measures developed.

A significant proportion of our activities concerns our governance of processes associated with the assessment and management of risk of harm posed by offenders considered for, or subject to, an Order for Lifelong Restriction (OLR). Over the year we maintained an optimal cohort of seventeen accredited assessors; these being highly skilled individuals, accredited by the RMA and appointed by the High Court on a case by case basis to prepare risk assessment reports. We also approved nineteen risk management plans prepared by lead authorities for individuals subject to an OLR and reviewed the annual implementation of fifty such plans. The statutory timescales in place for each element of these functions were met in all cases.

As mentioned earlier, 2012-13 marked the end of a three year corporate planning period for the RMA. Work on our new corporate strategies took place throughout the year, culminating in the publication of a new corporate plan that builds upon our achievements to date, fulfills our legislative duties and supports national priorities. As detailed in this report under the heading Future Strategic Developments, we have identified three strategic aims that will form the blueprint for our activities, these being developed in close alignment with Scottish Government national outcomes and Justice Strategy 2012, thus ensuring our contribution is of value to the Scottish criminal justice system as a whole. This continues our drive to make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes, and we are very much looking forward to implementing our new corporate plan and meeting its inherent challenges.

To conclude, 2012-13 was a year of change for the RMA but was also a year of progress and achievement. As a public body that strives to promote best practice, it is important that we develop ambitious plans that can bring about real change – our work over the last twelve months has delivered results that foster improvements to risk practice and at the same time we have developed new strategies that will facilitate further steps forward in the period ahead. Overall I am confident this report provides evidence of the competent delivery of our duties.

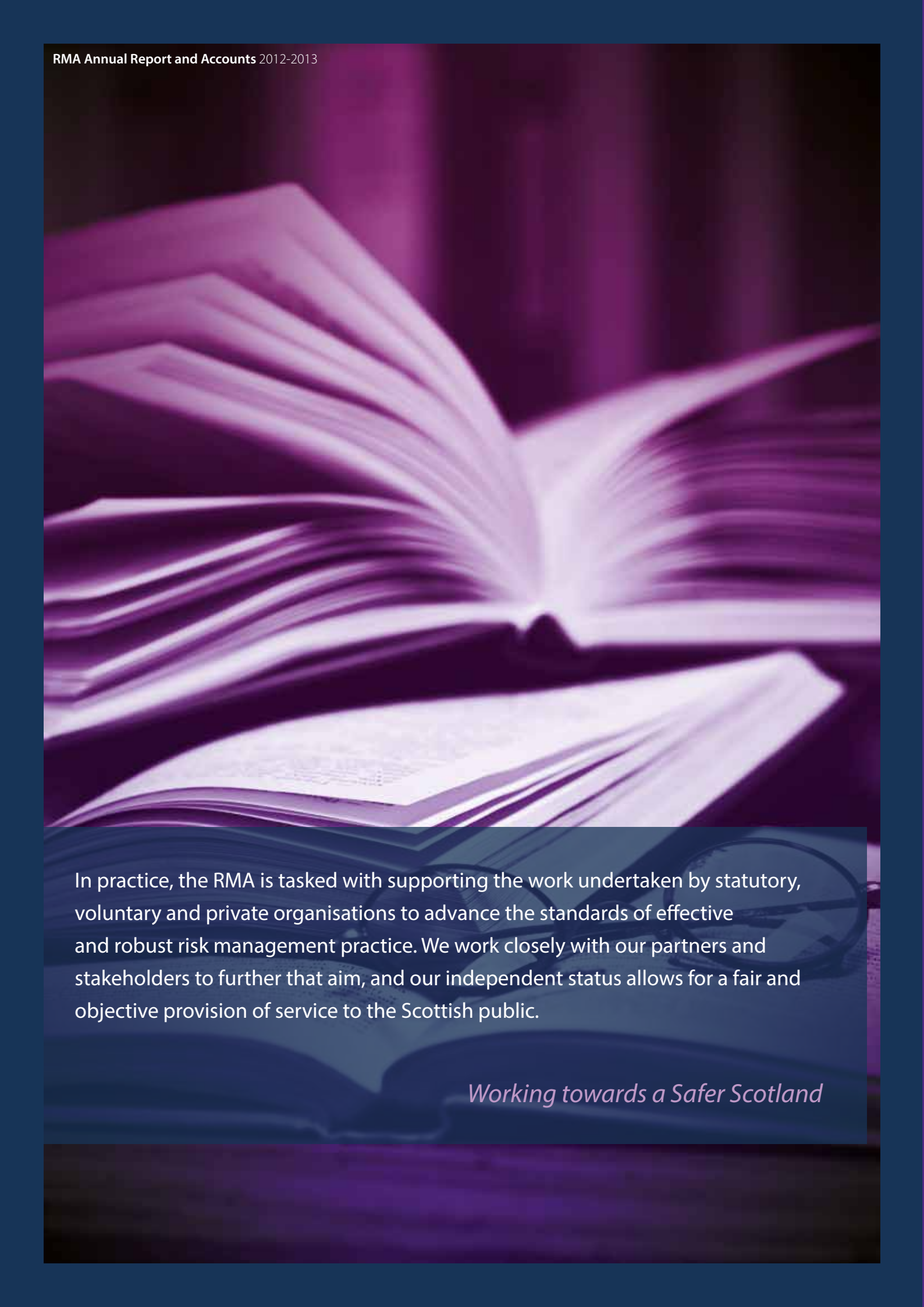
A handwritten signature in black ink, appearing to read 'Peter W Johnston'. The signature is fluid and cursive, with a long horizontal stroke at the end.

Peter W Johnston
Convener
1st July 2013

“We have identified three strategic aims that will form the blueprint for our activities, these being developed in close alignment with Scottish Government national outcomes and Justice Strategy 2012, thus ensuring our contribution is of value to the Scottish criminal justice system as a whole.”

Peter W. Johnston

Working towards a Safer Scotland



In practice, the RMA is tasked with supporting the work undertaken by statutory, voluntary and private organisations to advance the standards of effective and robust risk management practice. We work closely with our partners and stakeholders to further that aim, and our independent status allows for a fair and objective provision of service to the Scottish public.

Working towards a Safer Scotland

The Role of the Risk Management Authority

The RMA is an independent Non-Departmental Public Body (NDPB) established in 2005, under the Criminal Justice (Scotland) Act 2003. Sections 3 to 13 of the Act outline the statutory duties of the Authority, which were developed in response to recommendations to Scottish Ministers from the Committee on Serious Violent and Sexual Offenders in 2000 (chaired by Lord MacLean). The duties outlined focus on protecting the public by ensuring that robust and effective management practices are in place to reduce the risk of serious harm posed by violent and sexual offenders. Within this remit, we also have a specific responsibility to administer and oversee the standard setting, accreditation and approval processes supporting the Order for Lifelong Restriction (OLR). This sentence pertains to those who pose the highest level of risk to the community and involves a rigorous programme of lifetime risk management in cases where the High Court determines that an offender;

“if at liberty, will seriously endanger the lives, or physical or psychological well-being, of members of the public at large.”

(Section 210E of the Criminal Justice (Scotland) Act 2003)

In practice, the RMA is tasked with supporting the work undertaken by statutory, voluntary and private organisations to advance the standards of effective and robust risk management practice. We work closely with our partners and stakeholders to further that aim, and our independent status allows for a fair and objective provision of service to the Scottish public.



¹ A public organisation that provides a service independently from the Government

² For further information, including OLRs, please see our FAQs at www.rmascotland.gov.uk/news-and-information/faq-s/

Statutory Functions

The RMA's specific functions regarding the OLR and our other duties in relation to the assessment and minimisation of risk are outlined in full in our list of statutory functions which include:

1. Policy and Research³

In relation to the assessment and minimisation of risk, the Risk Management Authority is to:

- i. Compile and keep under review information about the provision of services in Scotland
- ii. Compile and keep under review research and development
- iii. Promote effective practice
- iv. Give such advice and make such recommendations to the Scottish Ministers as it considers appropriate

In carrying out the above functions, the Authority may:

- i. Carry out, commission or coordinate research and publish the results of such research
- ii. To undertake pilot schemes for the purposes of developing and improving methods

2. Guidelines and Standards⁴

The Risk Management Authority is to:

- i. Prepare and issue guidelines as to the assessment and minimisation of risk
- ii. Set and publish standards according to which measures taken in respect of the assessment and minimisation of risk are to be judged

3. Risk Management Plans⁵

The Risk Management Authority is to:

- i. Publish the form of Risk Management Plans
- ii. Consider for approval Risk Management Plans
- iii. Review annual reports on the implementation of Risk Management Plans
- iv. May issue guidance as to the preparation, implementation or review of any Risk Management Plan

4. Accreditation, Education and Training⁶

The Risk Management Authority is to:

- i. Administer any scheme of accreditation in relation to a manner of assessing and minimising risk
- ii. Administer any scheme of accreditation in relation to a person having functions as to the assessment and minimisation of risk
- iii. May provide or secure the provision of education and training in relation to the assessment and minimisation of risk for any persons having functions in that regard

5. Supplementary Functions⁷

The Risk Management Authority, in connection with the exercise of its functions, may:

- i. Acquire and dispose of land
- ii. Enter into contracts
- iii. Charge for goods and services
- iv. Invest and borrow money

³ Part 1 section 4 of the Criminal Justice (Scotland) Act 2003

⁴ Part 1 section 5 of the Criminal Justice (Scotland) Act 2003

⁵ Part 1 section 6-9 of the Criminal Justice (Scotland) Act 2003

⁶ Part 1 section 4 & 11 of the Criminal Justice (Scotland) Act 2003

Risk Assessment and Minimisation (Accreditation) Scheme (Scotland) Order 2006

⁷ Part 1 section 12 & 13 of the Criminal Justice (Scotland) Act 2003



Communicating best practice is at the core of the RMA's work; drawing evidence and information from agencies both nationally and internationally to improve the risk assessment and risk management of offenders through a strong evidence base.

Working towards a Safer Scotland



A significant element of our work this year concerned the development of a new corporate plan for 2013-16. This plan, developed in consultation with our partners and stakeholders, builds upon our previous work and sets new ambitious challenges for the RMA.

Working towards a Safer Scotland

Annual Report

Management Commentary

As Chief Executive and Accountable Officer of the RMA I am delighted to introduce this report, which details our activities over the past twelve months and highlights the notable achievements we have recorded in our efforts to promote best practice in risk assessment and risk management.

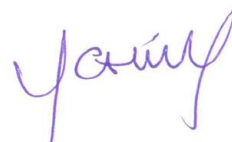
As always, our work was shaped by the strategic targets outlined within our corporate plan. From that plan we developed our business plan objectives for the year. A summary of the results against this plan included: the formation of the FRAME Implementation Group, which will provide a structure for shared stakeholder activity and take forward the improvement initiatives of FRAME; the publication of an evaluation report into the implementation of the Stable & Acute 2007; the development of risk practice training course materials; the development of a third version of the RATED directory; the development of revised Standards & Guidelines for Risk Management; the implementation of a new case management system for restricted files; and support to the implementation of LS/CMI throughout Scotland.

Reductions in budgets have presented a number of challenges for public sector bodies for some time, with organisations endeavoring to cut costs whilst maintaining quality and service. The RMA has not been immune to this pressure, with core grant in aid funding for 2012-13 reduced from the previous year's figure by 6.6%, to £934,000. This trend will continue, with funding for 2013-14 incorporating a further budget reduction of 3.6%. In addition to the core grant the RMA also received additional funding of £74,000 to support the implementation of LS/CMI.

Through careful stewardship and management of our resources and priorities, our efficiency targets for this year were met, and we will closely monitor our activities over the next period to ensure we continue to meet our statutory functions.

A significant element of our work this year concerned the development of a new corporate plan for 2013-16. This plan, developed in consultation with our partners and stakeholders, builds upon our previous work and sets new ambitious challenges for the RMA. However, as we publish this corporate plan, we are conscious that a consultation on the redesign of the community justice system is also underway. The consultation will have implications for the future roles and responsibilities of the RMA. Accordingly, we have planned our work for the next three years with our contribution to this wider initiative in mind.

To conclude, I hope this report provides insight to the work we have undertaken over the past year and demonstrates our commitment to setting the standard for risk practice. As we move into a new chapter for the RMA, I am pleased that we have recorded meaningful achievements and progress in 2012-13 and that in many instances these actions have provided a sound platform for our future work over the next three years.



Yvonne Gailey, Chief Executive and Accountable Officer
Risk Management Authority

1 July 2013

Performance against 2012-13 Business Plan

The targets contained within our Business Plan for 2012-13 were developed to contribute to the achievement of our corporate strategies. The Corporate Plan 2010-13 was structured around 5 Strategies, these being Best Practice, Research & Innovation, Setting the Standard, Raising the Standard and Improving the Service. These strategies not only provided the focus for our activities, but due to their close alignment with the Scottish Government's National Outcomes they also ensured that our outputs would make direct, meaningful contributions to the overall aim of a safer and stronger Scotland.

The pages that follow outline the progress recorded in 2012-13 against each Strategic Aim. A description is provided of each aim along with a record of the activities undertaken over the past year that supported their achievement.

Key facts for 2012-13

National FRAME Implementation Group established to facilitate partnership working and improved risk practice

Strategic Aim 1 – To promote Best Practice in the assessment and management of risk of harm to others

The RMA plays an active role in the development and implementation of criminal justice policy, in particular the Offender Management Programme, to ensure it is underpinned by best risk assessment and management practice. We engage with key stakeholders and contribute to the development of existing policy initiatives through membership of national working groups and critical working parties. We also promote best practice through the delivery of national and international conferences, workshops and training events.

Notable activity in 2012-13 supporting this strategic aim included:

- Feedback provided to SPS⁸ on its risk management and progression guidance.
- Review conducted and input provided to ACPOS's⁹ guidance on MAPPAs¹⁰ and young offender management.
- Contribution made to guidance on young people with sexually problematic behaviour.
- National FRAME Implementation Group (FIG) established, with representatives from the Scottish Government, ADSW, ACPOS, SPS, Forensic Network and the Care Inspectorate.
- Support provided to stakeholders on the RMA recommendations for implementation, future training and quality assurance identified within the SA07¹¹ evaluation report.
- Contribution made to the MAPPAs Annual Report.
- Staff from NHS, SPS and criminal justice social work benefitted from SAPROF train the trainer sessions organised by the RMA.
- Practitioners' seminar held on SA07 quality assurance.
- Workshop delivered on the use of risk tools.
- Partnership agreement developed with the School of Forensic Mental Health to widen access to the RMA's Risk Assessment Report Writing Module.

⁸ SPS Scottish Prison Service

⁹ ACPOS Association of Chief Police Officers in Scotland

¹⁰ MAPPAs Multi Agency Public Protection Arrangement

¹¹ SA07 Stable & Acute 2007 risk assessment tool

Strategic Aim 2 – To promote Scotland as an international leader in Research & Innovation in the field of offender risk assessment and risk management

The RMA promotes Scotland as an international leader through its contributions to research and evaluation, and its work to develop a consistent shared approach to risk management practice through FRAME. In achieving this aim we undertake collaborations with partners that include local authorities, associations, universities and other centres of research in the criminal justice field. We engage with front line practitioners, review and contribute to the international literature and knowledge base and support the Scottish Government through our contributions to key project activities.

Notable activity during 2012-13 supporting this strategic aim included:

- Normative LS/CMI data gathered from local authorities across Scotland to support initial practice.
- LS/CMI and SA07 normative data research plans developed.
- Evaluations carried out on full LS/CMI case samples.
- Discussions held with ADSW and the Care Inspectorate to develop and put in place self-evaluation systems for ongoing LS/CMI implementation.
- A report published on the evaluation of the application of SA07 in Scotland.
- OLR data tables maintained and monitored to support the effective application of this sentence.
- Resources and learning materials developed for the Enhancing Effective Practice in Community Supervision project (EPICS).

Strategic Aim 3 – To continuously improve risk practice through setting the standard and promoting compliance amongst our stakeholders

The RMA seeks to advance the value of standard setting for risk practice. We utilise feedback to update existing standards and support Scottish Government objectives by developing guidelines. We also accredit methods of risk assessment and risk management and provide resources to ensure that a commitment to continuous learning and improvement is promoted through the dissemination of research literature. Finally, under this strategic aim we offer guidance to risk management teams.

During 2012-13, notable activity supporting this strategic aim included:

- Governance review of RMP¹² Committee procedures conducted, with enhanced processes and decision templates implemented.
- Draft Standards & Guidelines for Risk Management produced and a stakeholder consultation process conducted.
- RATED version 3 content finalised and draft version peer reviewed.
- Review conducted of RMP, AIR¹³ and Accreditation internal processes to ensure compatibility with revised Standards & Guidelines.
- Accreditation of the Manner for Risk Assessment used by RMA Accredited Assessors.

Key facts for 2012-13

Report published on the evaluation of the application of SA07 in Scotland, which produced recommendations for improvement including purposeful use, training and quality assurance

Key facts for 2012-13

RATED microsite commissioned, which will provide a comprehensive up to date online resource for risk assessors

¹² RMP - Risk Management Plan

¹³ AIR - Annual Implementation Report

Strategic Aim 4 - To raise the standards in risk assessment and management by facilitating and extending access to RMA standards and guidelines through education and training

The RMA encourages skills development activities and education in the field of risk assessment and risk management. We support good practice at each level of FRAME through the identification or development of a range of learning resources, including our training programmes and distance learning resources.

During 2012-13, notable activity supporting this strategic aim included:

- Focus groups and scoring exercises held with LS/CMI practitioners to inform the quality of training.
- LS/CMI learning evaluation reports completed and communicated across each Community Justice Area.
- Support provided to LS/CMI trainers in collaboration with the Cognitive Centre Foundation.
- Supporting Best Practice section of the RMA website developed to host LS/CMI learning evaluation and in-practice reports.
- Structures put in place and 70+ mentors identified to form a national LS/CMI mentors forum.
- Training materials developed for a Risk Management Planning and Practice course, with a course trialing use of the new materials held in November 2012. A partnership was established with the School of Forensic Mental Health to support delivery and widen access to the course.

Strategic Aim 5 - To increase efficiencies and effectiveness of internal processes and use of resources with the aim of improving the service we deliver

To support the delivery of our strategic aims, the RMA sets out to continuously improve our internal performance and practice in areas such as financial management, corporate governance and stakeholder development. We do this through the development of workforce plans that identify and balance future staffing needs, benchmarking of our activity against other organisations and the construction of performance management systems.

During 2012-13, notable activity supporting this strategic aim included:

- Work study analysis of OLR case management conducted to inform future staff resource requirements and allow greater understanding of case management processes.
- New case management system for 'restricted' level files put in place.
- Project plan developed and team assembled to support new accommodation arrangements for the RMA.
- Disturbance Policy and Procedure developed and implemented.
- RMA website development group assembled and a review conducted of website capabilities to identify potential improvements. This led to the commissioning of the microsite for RATED along with a series of changes for the main site including an e-reader for publications.
- Training programme for RMA line managers held to ensure the consistent and equal application of HR policies and procedures. Topics covered were performance management, absence management, disciplinary and employing young people.
- Review conducted of all RMA Board and Committee governance procedures, resulting in a board member self evaluation review, and the drafting of both a new scheme of delegation and terms of reference.

Key facts for 2012-13

LS/CMI learning evaluation report produced and communicated to each local authority to support the effective implementation of LS/CMI in Scotland

Key facts for 2012-13

Root and branch review conducted of RMA Board and Committee governance arrangements



The RMA promotes Scotland as an international leader through its contributions to research and evaluation, and its work to develop a consistent shared approach to risk management practice through FRAME.

Working towards a Safer Scotland

Key projects

The RMA's statutory function under Policy and Research involves the promotion of effective practice and the commissioning of research and development activities. This work often concerns RMA support to national programmes or to long-term development projects. In all cases our project work contributes to our strategic targets, particularly Best Practice, Research & Innovation and Raising the Standard. These strategic targets were developed in close alignment to five of the Scottish Government National Outcomes to ensure that RMA activity would directly support the development and implementation of national policy initiatives and ultimately the national strategic objective of making Scotland safer and stronger.

Stable & Acute 2007

The RMA was given the task of examining the implementation and application of the Stable & Acute 2007 (SA07) dynamic risk assessment tool for sexual offenders in Scotland. The purpose of our study was to identify any difficulties with the application of the instrument in Scotland and make recommendations for improvements in practice and quality control. The second of two RMA seminars to support the improvement initiatives of SA07 was held in April 2012, delivered on behalf of the RMA by Professor Don Grubin. The SA07 evaluation report was communicated to partners and published on the RMA website in December 2012. This report, titled 'the evaluation of the implementation of SA07 in Scotland', set out the RMA's recommendations for implementation, future training and quality assurance practice. The value of our evaluation will become evident in how future practitioners approach their use of the instrument - the SA07 is only one of a range of assessment instruments likely to appear in the process of sex offender management, and where multiple assessments are conducted it is important that clarity of purpose is evident, to ensure defensible decision making.

RATED

The Risk Assessment Tool Evaluation Directory (RATED) is a valuable resource for practitioners and academics. The RATED constitutes an audit of common assessment tools that are likely to be considered by risk assessors who perform risk assessments on behalf of statutory bodies or for the purposes of ongoing risk management. It provides relevant background information on each instrument and highlights the strengths and limitations that an assessor should take into account when applying a tool as part of a holistic risk assessment process. The development of version 3 of RATED continued throughout 2012-13, with significant improvements made over the previous version both in terms of content and presentation. Changes instructed included the rearrangement of directory entries to better describe the status of each tool; a new section on diagnostic / personality assessment tools; a new section dedicated to tools for the assessment of 'treatment readiness' and 'responsivity'; and amendments to the evaluation criteria. The content and structure of RATED was finalised following an extensive review by staff, Board members and partners, and a designer commissioned to produce the publication. As highlighted earlier in this report, a significant development this year has been the commissioning of a dedicated microsite for RATED - this will provide a user friendly, readily accessible and up to date resource for practitioners. Work on the published version of RATED and the microsite were nearing completion at the end of this year and it is anticipated both will be launched in the summer of 2013.

Level of Service / Case Management Inventory (LS/CMI)

The LS/CMI (Andrews et al, 2004) is a comprehensive risk assessment and case management system. It is now the common instrument to be used within both Criminal Justice Social Work and the Scottish Prison Service. 2012-13 marked the beginning of the implementation stage of the roll out of LS/CMI across Scotland. Approximately 1,000 practitioners had been trained in the use of this instrument over the previous year, thus the focus of our activities for this year concerned supporting the early use of the system. RMA staff compiled training data and developed learning evaluation reports to inform quality assurance aspects of the staff training programme. Another significant piece of work concerned the dissemination of In Practice reports -

These reports were drawn from the analysis of aggregate data provided by Criminal Justice Social Work Services. The purpose of these reports was to provide an initial evaluation of information from the use of the LS/CMI system in Scotland to support the development of local evaluation and quality assurance measures. Within the reports some initial comparisons with the national data was provided for demonstration purposes. These comparisons will be developed fully at a national level in the next stage of the study later in 2013 to support service planning and performance management. The development of a LS/CMI National Mentors forum was another important achievement for this year – over seventy mentors across Scotland were identified and structures put in place to support this group, which will provide a valuable resource to local practitioners.



Order for Lifelong Restriction: Accreditation and Risk Management Plan approval processes 2012-13

The Order for Lifelong Restriction (OLR) became available to the High Court in 2006. This sentence provides for the lifelong management of high-risk violent and sexual offenders. In cases where the High Court considers that an offender may meet the set 'risk criteria', it will make a Risk Assessment Order (RAO). With this order an Assessor accredited by the Risk Management Authority is appointed to produce a Risk Assessment Report. This report assists the High Court in its consideration of whether or not an Order for Lifelong Restriction should be imposed.

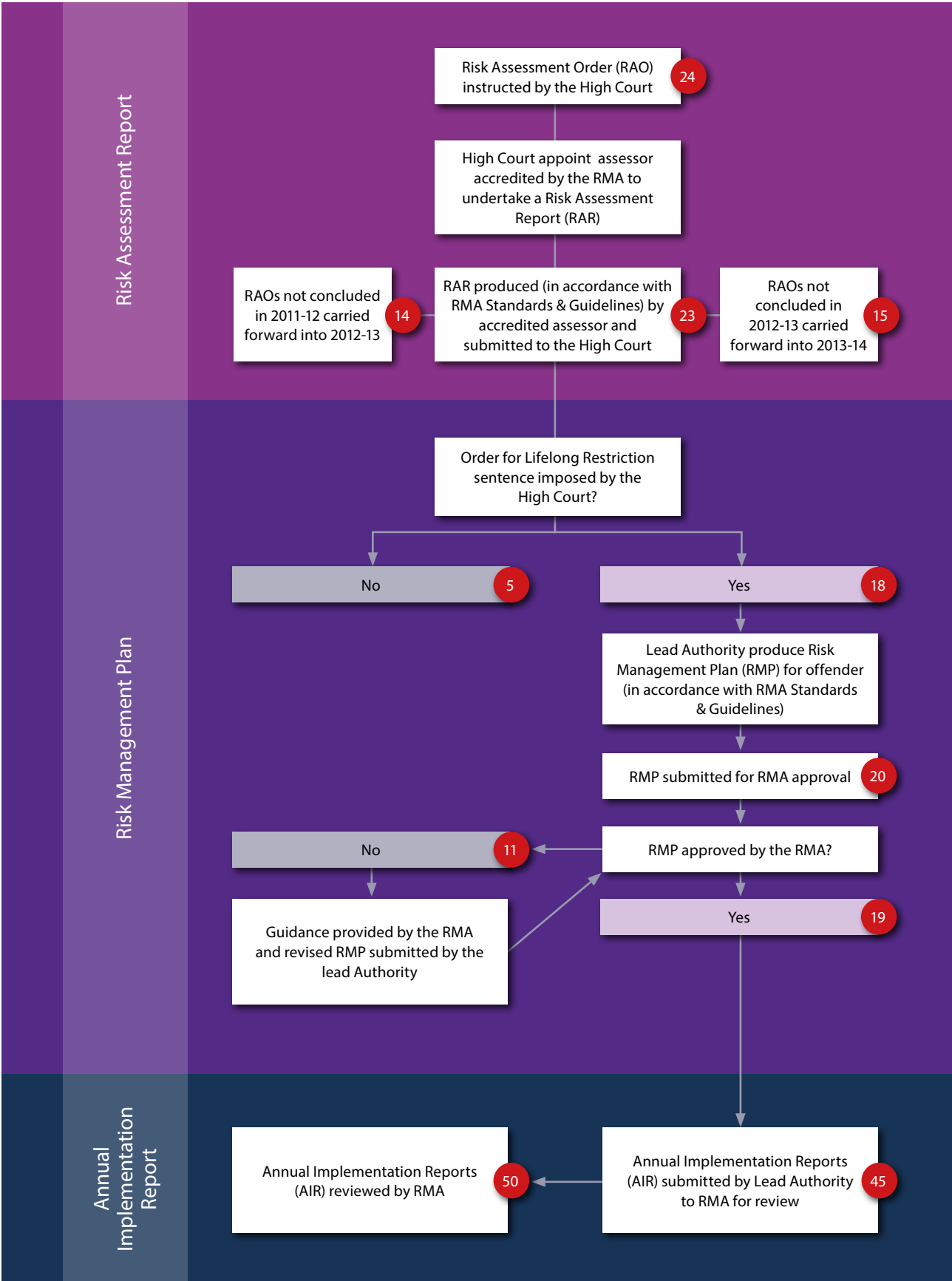
The chart overleaf illustrates the key elements of the OLR process: Risk Assessment Report, Risk Management Plan and Annual Implementation Report. The figures highlighted for each component of the process indicate the level of recorded activity for 2012-13.



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

- To decide whether an applicant has met the required competencies and standards to become an RMA risk assessor and to award accredited status if they have;
- To provide appropriate direction to RMA staff on the handling of an application for accreditation at all stages prior to a final decision on whether or not to accredit a person;
- To decide whether a manner has met the required criteria to become an RMA accredited manner and to award accredited status if it has;
- Oversee the development and review of any RMA Standards & Guidelines with regards to risk assessment and management, which Accredited Assessors must conform to.

OLR Process Flowchart



Key facts for 2012-13

6 *assessor accreditation applications approved*

Accreditation as a risk assessor is based on a competency framework in order to apply consistent standards of assessment across different professions. The competency framework underpins the application process, which balances the required rigour with recognition that candidates for accreditation will invariably be experienced practitioners with a wide range of relevant skills. It should be noted that accredited assessors are not employed by the RMA: they are commissioned directly by the High Court.

The RMA Accreditation Committee processed 2 new applications for accreditation and 5 renewal applications for accreditation during 2012-13. Of the 2 new applications, 1 was approved and 1 was rejected by the Committee; and

all 5 renewal applications were approved. The number of assessors accredited to undertake Risk Assessment Reports on behalf of the High Court is 17.

Key facts for 2012-13

24 *Risk Assessment Orders (RAOs) instructed by the high court*

23 *Risk Assessment Reports (RARs) concluded*

It should be noted that RAO's instructed near the end March are carried forward, to be concluded in the subsequent financial year (once an RAO has been instructed, the Accredited Assessor has 90 days to complete the Risk Assessment Report, although this can be extended).

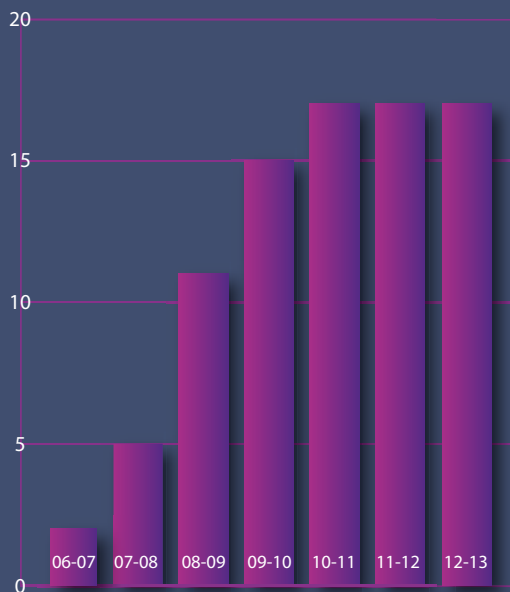


Fig 1. Number of Accredited Assessors

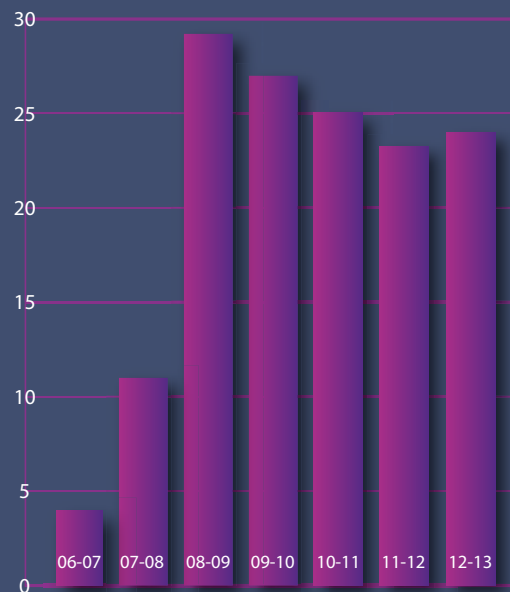


Fig 2. Number of Risk Assessment Orders issued by the court

Key facts for 2012-13

18 Orders for Lifelong Restriction imposed by the High Court

When the Order for Lifelong Restriction (OLR) legislation was introduced, it was estimated that by largely replacing the discretionary life sentence, approximately 15 OLRs would be imposed each year. The highest number of OLR sentences passed in a year was 27 in 2009-10, which was significantly higher than the initial estimate. The figures recorded since then have been more consistent and in line with the initial estimate, ranging between 15 and 18 in each year.

Since the inception of the legislation to 31 March 2013, the 128 Risk Assessment Reports considered by the High Court have resulted in a total of 99 offenders being sentenced to an OLR.

In terms of offences that led to an OLR sentence being made, the circumstances in which the High Court in Scotland may consider making a Risk Assessment Order in respect of a convicted person are broad. Other than murder (where there is a mandatory life sentence) there are no exclusions to the offences that may be considered.

Three specific categories are mentioned:

- Sexual offences;
- Violent offences; and
- Offences which endanger life

A list of the index offences of those offenders subject to an OLR is provided in Appendix A.

A review of those index offences shows that:

- Almost 10% of cases had an index offence of attempted murder (7 violent, 2 sexual elements).
- 21.8% of cases had an index offence of assault; 8 (38%) of which were for assault and robbery.
- 24.2% of all offences were for rape, with a further 12.6% for attempted rape or assault with intent to rape.
- This means that over one third (36.8%) of all cases had an index offence that was rape-related.

Currently there are 26 OLR Offenders (27.3%) who have an expired punishment part and a further 16 OLR offenders (16.6%) who have a punishment part that is due to expire during 2013-2014. A unique element of the OLR sentence is that detention can continue beyond an offender's expired punishment part. The Parole Board (sitting as a tribunal) is responsible for determining whether or not an OLR offender requires to continue to be confined for the protection of the public. The tribunal directs an individual's release, on licence, from custody only when it is satisfied that the risk is acceptable. On release an individual would continue to be subject to a Risk Management Plan and Annual Implementation Report. Should an individual breach conditions of their release or give cause for concern whilst on licence, they would be liable to be recalled to custody.

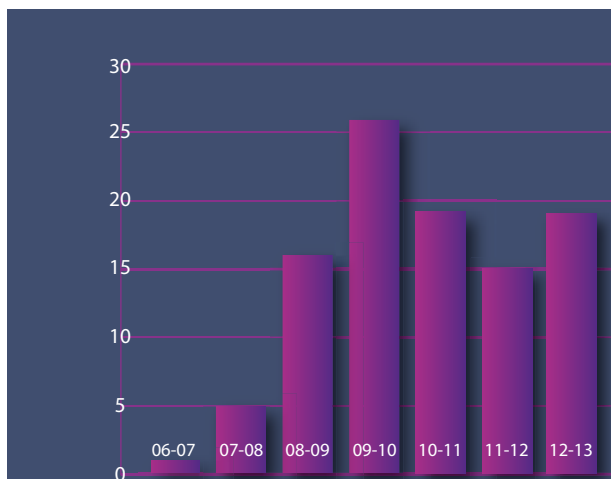


Fig 3. Number of offenders sentenced to an Order for Lifelong Restriction

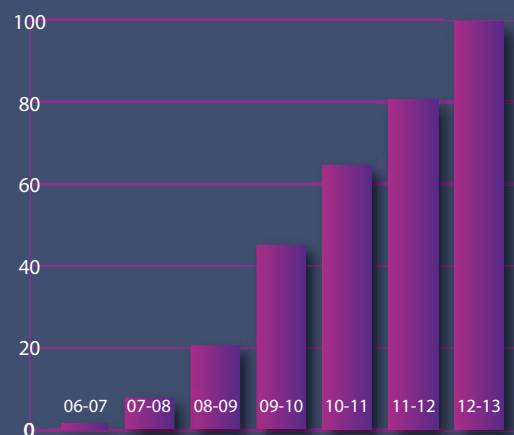


Fig 4. Cumulative number of offenders subject to an Order for Lifelong Restriction

The Criminal Justice (Scotland) Act 2003 requires the approval by the RMA of a Risk Management Plan for each offender sentenced to an Order for Lifelong Restriction, within nine months of the date of sentence.

Thereafter cases are reviewed annually with implementation reports submitted to the RMA. The purpose of the Risk Management Plan is to ensure that risk is properly managed on a multi-disciplinary basis and has regard to the RMA's Standards & Guidelines for Risk Management. As such, agencies with statutory responsibilities for the offender such as the Scottish Prison Service, local authority social work services and health services providers, must collaborate in the preparation of the Risk Management Plan. The agency responsible for writing the Risk Management Plan and submitting it to the RMA is known as the lead authority - this lead authority will change depending on the position of the offender (e.g. whether in prison, hospital, or released on licence in the community). The Risk Management Plan must also provide an assessment of the offender's risk, describe the measures to be taken to minimise that risk and how these measures will be co-ordinated.

The RMA facilitates this process through its Committee structure. The primary function of the Risk Management Plan Approval Committee is to approve Risk Management Plans submitted by Lead Authorities.

Key facts for 2012-13

19 Risk Management Plans approved

(of this figure 11 were approved after guidance from the RMA resulting in revised plans being submitted for further consideration).

50 Annual Implementation Reports reviewed

This Committee also has functions to:

- Receive annual reports on the implementation of approved Risk Management Plans
- Oversee the Risk Management Plan process; and to set and amend policy in the area of Risk Management Plans

In this reporting year, 19 Risk Management Plans (RMP) were approved and a total of 50 Annual Implementation Reports (AIR) were reviewed by the RMA. Ordinarily the number of RMP's submitted to the Committee for approval will reflect the number of OLR's imposed, whereas the number of AIR's reviewed by the RMA will continue to rise year on year due to the cumulative number of offenders subject to an OLR.

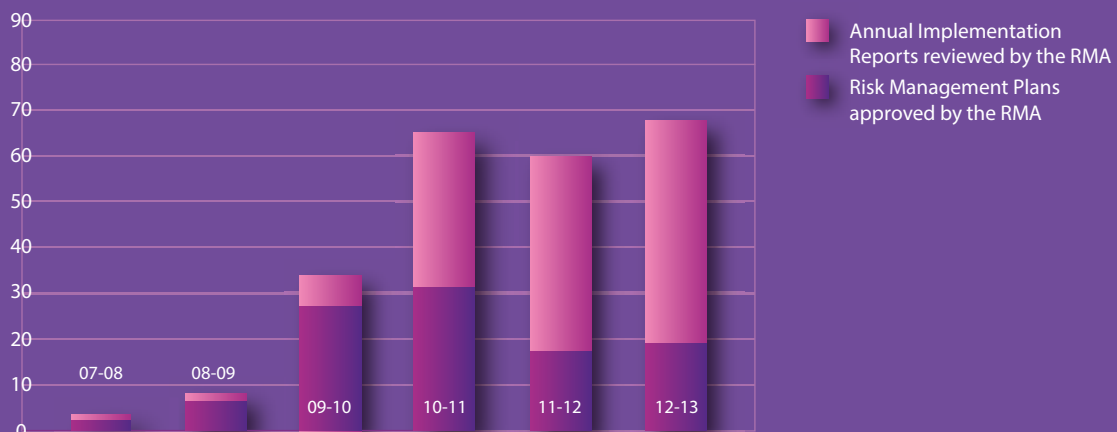


Fig 5. Case Work: RMPs and AIRs





Board and Senior Staff

The Board is responsible for setting the strategic direction of the RMA and, together with the RMA Chief Executive, ensures that Best Value is achieved through efficient and effective use of resources and personnel.

In order to do this, the Board established six Committees to ensure informed decision and policy making.

The Committees are:

Accreditation Committee

- to take decisions on the accreditation of assessors and manners of assessment

Appeals Committee

- to consider and decide any appeals lodged with the RMA against a decision by the Accreditation Committee

Audit Committee

- to support the Accountable Officer responsible for issues of risk, control and governance and associated assurance through a process of constructive challenge

Remuneration Committee

- to consider and make recommendations to the Board and Scottish Ministers on pay policy and the annual pay award for the Chief Executive and staff

Research & Training Committee

- to provide the strategic direction for the RMA's research and training programme. The Scottish Government is represented on the Research and Training Committee through a nominee from the Effective Practice Unit (EPU) within the Justice Department.

Risk Management Plan Approval Committee

- to take decisions and approve Risk Management Plans submitted by lead authorities

Appointments to the Board of the Risk Management Authority are made by the Scottish Ministers.

We are sad to report that one of our Board members, Mr Peter Withers, passed away in August 2012. As well as being an RMA Board member for over five years, Mr Withers was also a member of NHS Tayside and the Independent Safeguarding Authority. Prior to joining the RMA he enjoyed a long and successful career in the Scottish Prison Service, where he was Governor of HMP Barlinnie and later Director of Prison Services. Devoted to all his public duties, his knowledge and commitment as a Board member contributed greatly to the work of the RMA.

The RMA Board members are:

Convener: Mr Peter Johnston

Board members: Professor Jim McManus
Professor Hazel Kemshall
Mr Jim Green
Dr Anne MacDonald
Dr Joanne Wood
Mr Emcee Chekwas

The RMA maintains a Register of Member's Interests, which is available on our website www.rmascotland.gov.uk, via telephone on 0141 567 3112 or by email to info@rmascotland.gsi.gov.uk.

Yvonne Gailey was appointed Chief Executive on 27th May 2009 and is the Accountable Officer for the Risk Management Authority. Ms Gailey took up the Chief Executive post following three years as Director of Operations and Development within the RMA. This followed five years in training and consultancy, involved in introducing risk assessment tools and effective practice initiatives in Scotland's youth and criminal justice sectors. Ms Gailey has a social work background, working from 1979 to 2001 in Renfrewshire Council as a social work practitioner and criminal justice manager, and throughout her career has demonstrated a commitment to evidence-based practice.

Paul Keoghan joined the Risk Management Authority on 26 January 2009 as Director of Business Performance. In supporting the governance arrangements of the RMA Mr Keoghan oversees all of the Authority's corporate services including finance, policy, communications, IT, audit and administration and ensures the RMA adheres to the Best Value and financial procedures laid out by the Scottish Government.

Staff Resource

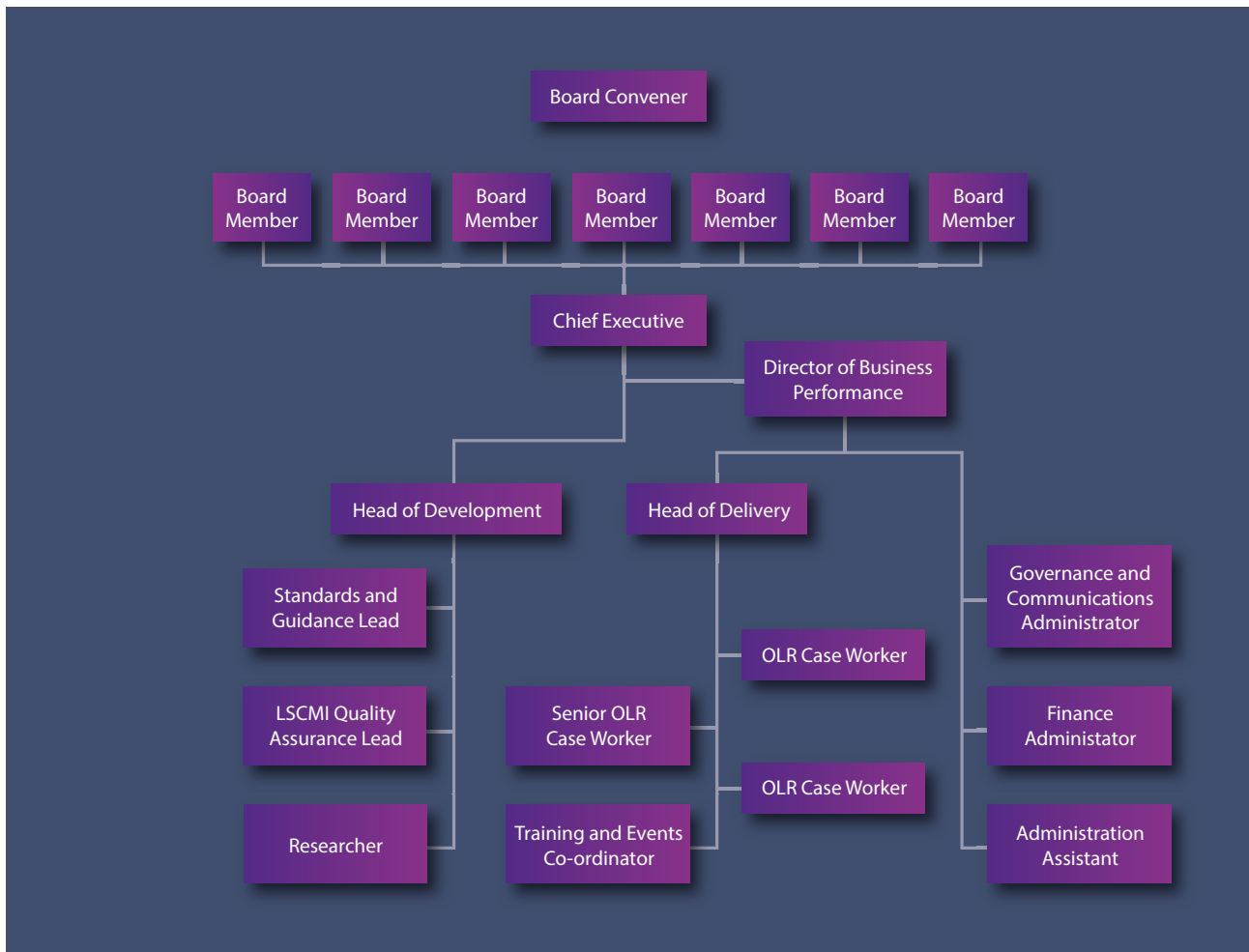
The RMA has a small structure of thirteen permanent employees and one temporary employee, and places great emphasis on the continued development of those staff members to support the achievement of our corporate and business plan objectives. We operate our pay and performance systems using the Hay methodology and reward staff contributions through remuneration arrangements as dictated by Scottish Government Pay Policy guidance.

To support the delivery of development projects and research activity, the RMA recruited three temporary Research Assistants in November 2011. One of these temporary members of staff subsequently went on to secure a permanent OLR Case Worker position in September 2012. The contracts of the other two Research Assistants ended in March 2013.

Staff Changes

Position	Recruitment date
OLR Case Worker (recruited internally)	25/09/2012

Position	Date left
OLR Case Worker	24/09/2012
2 x Temporary Research Assistants (contracts ended)	31/03/2013



We aim to realise the potential of all staff members and support their continued professional development through investment in training opportunities and attendance at relevant seminars and conferences. Staff are also subject to a comprehensive system of performance review and are encouraged to improve their skills and expertise on an ongoing basis as part of their work for the RMA.

Key facts for 2012-13

12 RMA staff attended 19 training courses during the year

5 RMA staff attended 5 relevant conferences and seminars

Courses attended by staff during 2012-13 included training on Corporate Governance, Diversity, Personality Disorder in Forensic Settings, Structured Assessment of Violence Risk in Youth (SAVRY) and Historical Clinical Risk (HCRv3). Relevant conferences and seminars attended included the SASO Glasgow Branch Conference on Prisons and Imprisonment and the British Psychological Society Annual Conference.

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 makes available. The RMA adopted a new Publication scheme in 2011-12, which was approved by the Scottish Information Commissioner, who is responsible for enforcing FOISA. In developing this scheme, the RMA was mindful of the value, both to the public, and to our operation, of the principles of openness and transparency.

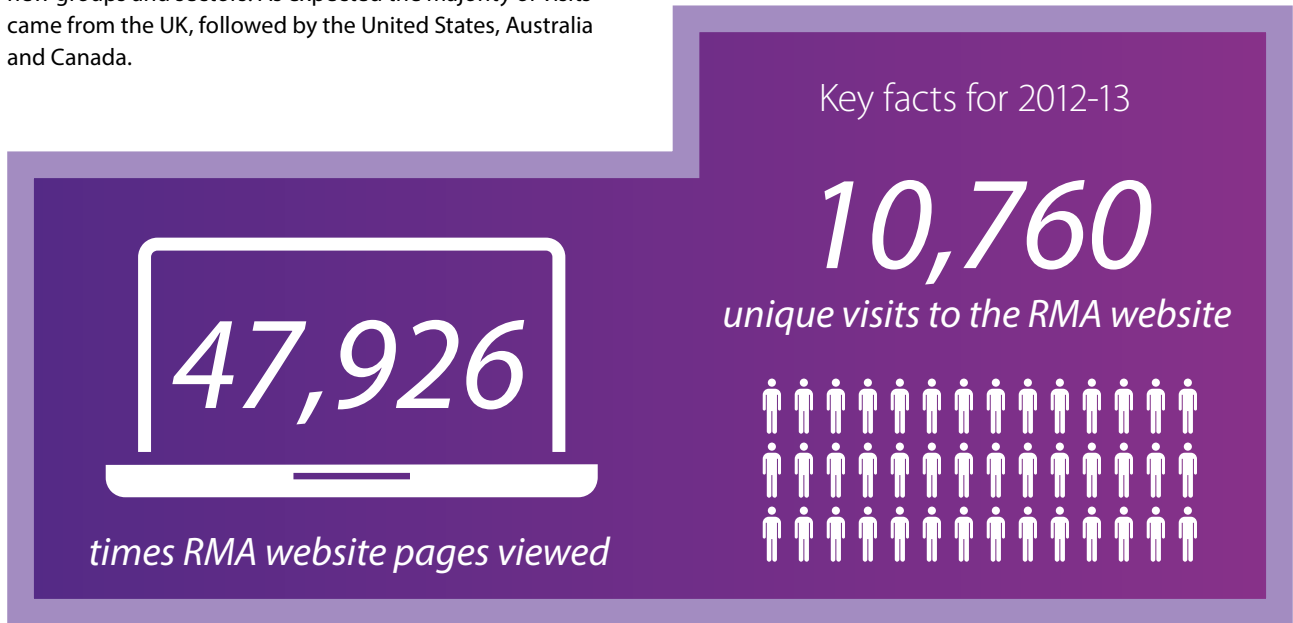
Key facts for 2012-13

24 responses provided to Freedom Of Information requests received by the RMA

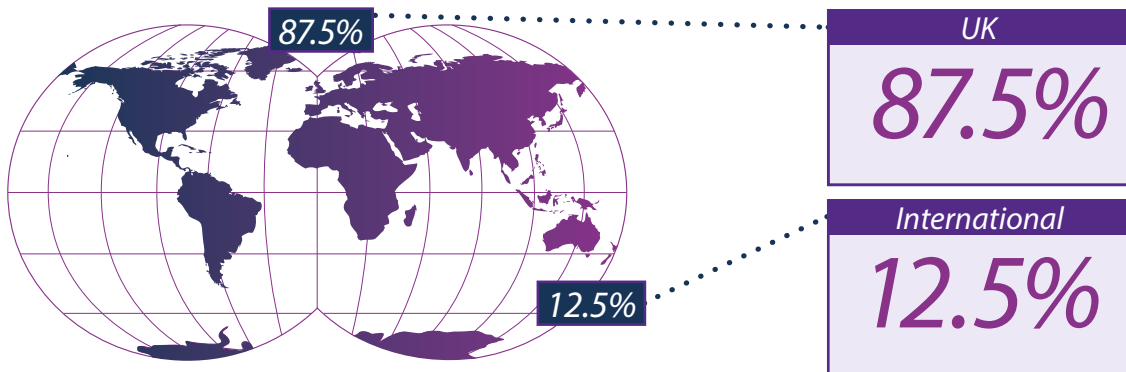
In 2012-13 the RMA received 24 requests under FOISA. All requests were responded to within the legislative guidelines of 20 working days.

Website

The RMA website is a central element of our communications and engagement strategy. Significant effort was made throughout 2012-13 to enhance the content of the website, making us better able to support best practice and promote our activities. We have continued to attract high numbers of visitors to the website and are pleased to report that of the 6,775 people who visited the website over the year, 58% of them were new visitors. This demonstrates the value of the website as a means of raising awareness of the RMA amongst new groups and sectors. As expected the majority of visits came from the UK, followed by the United States, Australia and Canada.



Unique visits to the RMA website



Equality Duty Mainstreaming Report

The public sector equality duty (often referred to as the general equality duty) in the Equality Act 2010 came into force in April 2011.

The **general equality duty** requires the RMA as a public authority, in the exercise of its functions, to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010.
- Advance equality of opportunity between people who share a relevant protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

The equality duty covers the **protected characteristics** of Age, Disability, Gender, Gender Reassignment, Pregnancy and Maternity, Race, Religion or Belief and Sexual Orientation. The duty also covers marriage and civil relationships, with regard to eliminating unlawful discrimination in employment.

The **specific duties** required the RMA as a public authority to publish a report on the progress it had made in integrating the general equality duty to the exercise of its functions, so as to better perform that duty. The RMA's report, which was published on the RMA website in April 2013, is outlined overleaf.

Review

As a public body we want to promote open and inclusive working practices. We recognise the importance of the general equality duty and the impact that it has in helping us to operate both as a good employer and as an effective public body. This report demonstrates the successes we have had over the last twelve months to enhance our working practices, and identifies the areas where we can improve. We are conscious that we have progress to make if we are to integrate the equality duty fully into all of our functions.

Notable activity over the last twelve months included the following:

- The compilation of Public Sector Employment Statistics. Information was gathered quarterly on the number of male / female staff and the number of permanent / temporary staff. This data was then shared with Scottish Government;
- Youth Employment data compiled, which identified the number of young people aged 16-24 who work for the RMA and in which capacity. Again this data was shared with partners within Scottish Government;
- Staff information gathered via a diversity monitoring form, updated annually, which recorded age, gender, nationality, ethnicity and disability;
- RMA recruitment form updated. RMA appointments are made in accordance with the Equality Act. Diversity information is requested from applicants, which is then gathered and held separately from those staff involved in the recruitment process;
- RMA Staff Handbook revised. Arrangements made to update this annually to take into account changes to employment law;
- RMA human resource policies and procedures reviewed and updated, including equal opportunities and grievance;
- Revised Code of Conduct implemented, which highlighted staff's duty to act in accordance with the RMA's values of Dignity, Integrity, Honesty, Objectivity and Impartiality.
- Line manager training programme held to further develop line manager skills and their approach to performance management, discipline, absence management and recruitment, to ensure consistency and equity.
- HR staff trained in equalities and diversity.
- Equality impact assessments carried out, most recently on the introduction of our revised staff performance management / appraisal system.
- Ongoing work on the RMA's Risk Assessment Tools Evaluation Directory, which evaluates the suitability of common risk assessment tools in relation to specific populations.

Key facts:

- The RMA currently has a relatively even split of male / female employees, with 56% female and 44% male.
- The RMA carried out no external recruitment during 2012-13. One position was recruited internally, with all RMA staff notified and invited to apply.
- Almost a fifth of the RMA workforce are young people, aged 24 or under.
- The RMA currently has no disabled staff; however considering the small size of the RMA, having only 16 employees, this is not noted as a concern. All RMA appointments are made in accordance with the Equality Act.

Future plans

We have identified a range of activities we will undertake in the future to enhance our employment practices and service delivery in compliance with the general and specific equality duties. We wish to build upon our work to date to further develop a culture where equality and diversity are “mainstreamed” into all that we do. As an employer, our aim is to foster a diverse and well-motivated workforce, and facilitate an environment in which all our staff are treated with dignity and respect.

We will advance our general equality duty with regards to discrimination, equality and fostering good relations, through:

- Implementing Equality Outcomes. These outcomes will shape the focus of our activities, highlighting the areas the RMA wishes to make progress against, both in the delivery of our functions and in our role as an employer;
- Implementing changes to our website and reviewing how we communicate our equalities information;
- Training – Training on equality and diversity will be made available to staff and will incorporate information on protected characteristics and the public sector duty. We envisage this will help inform how we deliver against our roles and responsibilities;
- Undertaking Equality Impact Assessments. A number of new policies and procedures are planned, which will require EIA's, including a Relocation Policy & Procedure and Records Management Plan;
- Updating our staff induction process;
- Building upon our existing workforce monitoring- bringing together current monitoring data with new data so that we can report upon a wider range of aspects and undertake analysis.

Breakdown of RMA employee information gathered 2012/13:

Total number of staff	16
Sex	
Number of male staff	(44%)
Number of female staff	(56%)
Permanent / Temporary	
Number of permanent staff	(81%)
Number of temporary staff	(19%)
Disability	
Number of staff with a disability	(0%)
Age	
Number of young people employed (24 or under)	(19%)
Breakdown of national identity	
Scottish	(69%)
British	(19%)
other	(12%)
Breakdown of ethnicity	
White British	(88%)
Black Caribbean	(6%)
White other	(6%)

Future strategic developments

2012-13 was the final phase of the RMA's Corporate Plan 2010-13. The three years covered by that plan were a significant step forward, with a strengthening of our strategic vision and important achievements made in our promotion of best practice. Our future strategic plans look to build upon those achievements and move forward again to further enhance our effectiveness and influence. To that end, we have developed a new Corporate Plan for 2013-16 that clearly defines our strategic intent to help make Scotland safer by reducing reoffending and the harm that it causes. We have identified three strategic aims that will form the blueprint for our activities, these being developed in close alignment with Scottish Government national outcomes and Justice Strategy 2012, thus ensuring our contribution is of value to the Scottish criminal justice system as a whole.



RMA Corporate Plan 2013-16

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

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 RMA 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

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



8%)

1.758

31

2,313

118

2,028

220

Annual Accounts 2012-13

Financial Performance

Introduction

These annual accounts report the results of the Risk Management Authority for the year 1 April 2012 to 31 March 2013. They 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 authorised these financial statements for issue on 1 July 2013.

Financial results

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

The financial statements for the year ended 31 March 2013 are set out in pages 45 – 46. The Notes to the annual accounts on pages 47 – 52 form part of the annual accounts.

For the year 2012-13 the Risk Management Authority total expenditure budget amounted to £939,000 which was funded by Scottish Government in the form of grant-in-aid.

All expenditure incurred during 2012-13 was within agreed budgetary provision.

Risks & Uncertainties

The Risk Management Authority is committed to the development and maintenance of an effective culture of risk management whereby appropriate procedures are embedded within the organisation which focus on the achievement of organisational aims and objectives.

The risk register maintained by the Risk Management Authority contains 13 risk factors. These risk factors are regularly evaluated and assessed, the profile of risks on the register as at 31 March 2013 is high risks (1), medium risks (9) and low risks (3).

The principal area of uncertainty facing the Risk Management Authority relates to the Scottish Government consultation on Redesigning the Community Justice System. Several options contained within the consultation may impact significantly the current functions of the Risk Management Authority. The outcome of the consultation is expected to be announced by December 2013.

Changes in Non-Current Assets

The Risk Management Authority neither acquired nor disposed of non-current assets during the year.

Post Year-End Activities

Since the end of this reporting year there are no significant post year-end activities to report.

Public Interest Reporting

Charitable Donations

No charitable donations were made in the year ended 31 March 2013.

Payment Performance

In line with Scottish Government the Risk Management Authority's policy for the payment of invoices, not in dispute, is within 10 day of receipt (or the agreed contractual terms if otherwise specified). The Risk Management Authority aims to pay 100% of invoices, including disputed invoices once the dispute has been settled, within these terms.

In 2012/13 The RMA paid a total of 90% of invoices received within the terms of the payment policy, compared with 98% in 2011/12. Of the remaining 8% of invoices not paid within the 10 day target, 12.5% were late as a result of staff absence, 25% as a result of supplier set up delays, 56.3% as a result of technical issues with IT equipment and 6.3% due to no invoice received from the supplier. The RMA will continue to investigate service improvements in order to achieve this target in future. This compares with performance in 2011-12 whereby late payments amounted to 2%.

As at 31 March 2013 the value of supplier payments outstanding at year end was £359.21. Supplier payments outstanding at 31 March 2012 was £318.68. All short term liabilities were classified as trade payables.

The Risk Management Authority observes the principles of the Better Payment Procedure Code.

Equal Opportunities

The Risk Management Authority is committed to ensuring equal opportunities for all employees and potential employees. The Risk Management Authority adheres to its equal opportunities policy in all working practices.

People with Disabilities

The Risk Management Authority's equal opportunities policy aims to ensure that there is no employment discrimination on the grounds of disability and that access to employment and career development within the Risk Management Authority is based solely on ability, qualifications and suitability for the role.

Staff Involvement and Development

The Risk Management Authority is committed to training its staff and encouraging them to identify and attend developmental and further education training where applicable.

During 2012-13, the Risk Management Authority employed 15.5 FTE staff and provided seventeen training courses and attended five conferences/seminars. This compared with 2011-12 where 11.7 FTE employees attended twenty two training courses and five conferences/seminars.

The Risk Management Authority encourages staff involvement in the business planning processes and the on-going development of the organisation's work. A corporate training strategy and individual personal development plans were adhered to during 2012-13 for the on-going development of all staff. The Risk Management Authority holds a regular cycle of staff team meetings. In addition, all staff members are actively encouraged to attend corporate events such as conferences and seminars and team-working is promoted to increase awareness of their colleagues' roles and responsibilities.

Sickness Absence Data

During the year the Risk Management Authority has seen a decrease in the level of absence due to sickness. A total of 146 days were recorded as absence due to sickness, representing an absence rate of 3.1%. This compares to a total absence of 243 days in 2011-12 indicating an absence rate of 5.99%.

Personal Data Incidents

There were no personal data incidents reported in this financial period.

Pension Costs

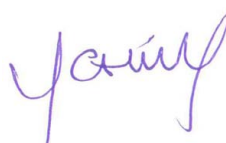
All staff of the Risk Management Authority are eligible to become members of the civil service pension arrangements (see the Remuneration Report contained in these financial statements for further detail).

Auditors

The annual accounts of the Risk Management Authority are audited by an auditor appointed by the Auditor General for Scotland in accordance with Section 13 (c) of the Criminal Justice (Scotland) Act 2003.

Disclosure of information to auditors

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



Yvonne Gailey
Chief Executive and Accountable Officer
1 July 2013

Remuneration Report

The Convener and Board Members

The Convener and Board Members are public appointments made by the Scottish Ministers under the procedures set by the Office of the Commissioner for Public Appointments. The Convener is appointed for a term of 4 years which will end on 30 September 2016.

The Convener and Board Members are paid an annual salary which is set by the Scottish Ministers. The salary rate is increased annually in line with the percentage uplift agreed by the Scottish Government Senior Salary Review Board. The Convener and Board Member appointments are not pensionable.

The Risk Management Authority has in place a Remuneration Committee, current membership of the Committee is Mr Peter Johnston, Mr James Green and Dr Anne MacDonald. The Committee's function is to make recommendations to the Board and the Scottish Ministers on a range of pay policy matters including the level of annual pay award for the Chief Executive.

Statement on the policy of the remuneration of the Chief Executive

The Board, in conjunction with the Scottish Government, agree a salary range for the Chief Executive and agree a starting salary within that range. The Board further agree that the Chief Executive's pay would be reviewed annually and any pay award for the Chief Executive would be dependent upon performance. The current Chief Executive assumed post on the 27 May 2009.

Pay awards for the Chief Executive must be approved by the Scottish Ministers. The Chief Executive's performance is assessed by the Convener of the Risk Management Authority using a system of annual appraisal and the performance conditions are based on achievement of the Risk Management Authority's annual business plan and corporate plan objectives.

The Chief Executive is a permanent appointment with a three month notice period. There are no early termination payment clauses within the contract.

The Chief Executive post is pensionable under the civil service pension arrangements.

Appointments are based on merit and on the basis of fair and open competition.

Statement on the policy of the remuneration of the Director of Business Performance

The remuneration of the Director of Business Performance is set by the Board, subject to the Scottish Ministers' approval. As part of the appointment process, and in conjunction with the Scottish Government, the Board agree salary ranges for the Director of Business Performance and agree starting salaries within that range. The Director of Business Performance's salary is reviewed annually as part of the pay remit process for all staff of the Risk Management Authority, with the exception of the Chief Executive. The current Director of Business Performance assumed post on 26 January 2009.

Pay awards for the Director of Business Performance are dependent upon performance. Performance is assessed by the Chief Executive using a system of annual appraisal and the performance conditions are based on achievement of agreed personal objectives, based on the Risk Management Authority's annual business plan and corporate plan objectives.

The Director of Business Performance is a permanent appointment with a three month notice period. There are no early termination payment clauses within the contract.

The Director of Business Performance post is pensionable under the civil service pension arrangements.

Appointments are based on merit and on the basis of fair and open competition.

Remuneration and Pensions

The following sections provide details of the remuneration and pension interests of the Convener, Board Members, Chief Executive and Director of Business Performance.

Remuneration

The following tables provide a breakdown of executive and non-executive directors' remuneration in 2011-12 and 2012-13 and have been audited by the Risk Management Authority's auditors.

Executive & Non-Executive Directors' Remuneration

	2012-13 Salary (£'000)	2011-12 Salary (£'000)
Mr Peter Johnston, Convener	5 - 10	5 - 10
Professor Jim McManus, Board Member	5 - 10	5 - 10
Mr Peter Withers, Board Member (until 31 Aug 2012)	0 - 5	5 - 10
Professor Hazel Kemshall, Board Member	5 - 10	5 - 10
Mr James H Green, Board Member	5 - 10	5 - 10
Dr Anne MacDonald, Board Member	5 - 10	5 - 10
Dr Joanne Wood, Board Member	5 - 10	5 - 10
Mr Emcee Chekwas (from 1 Sept 2011)	5 - 10	0-5
Professor Don Grubin, Board Member (until 31 Dec 2011)	-	0-5
Ms Yvonne Gailey, Chief Executive	65 - 70	65 - 70
Mr Paul Keoghan, Director of Business Performance	55 - 60	55 - 60

Performance Related Pay

	2012-13 £	2011-12 £
Ms Yvonne Gailey, Chief Executive	-	-
Mr Paul Keoghan, Director of Business Performance	-	-

Top to Median Staff Pay Multiples

	2012-13	2011-12
Band of Highest Paid Director's Total Remuneration (£ '000)	65-70	65-70
Median Total Remuneration	28,747	28,045
Ratio	2.3	2.3

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid director in their organisation and the median remuneration of the organisation's workforce.

The banded remuneration of the highest-paid director in the Risk Management Authority in the financial year 2012-13 was £65k - £70k (2010-12, £65k -£70k). This was 2.3 times (2011-12, 2.3) the median remuneration of the workforce, which was £28,747 (2011-12, £28,045).

Total remuneration includes salary, non-consolidated performance-related pay, benefits-in-kind as well as severance payments. It does not include employer pension contributions and the cash equivalent transfer value of pensions.

Pension Benefits

	Accrued pension at age 60 as at 31/3/13 and related lump sum	Real increase in pension and related lump sum at age 60	CETV at 31/3/13 £'000	CETV at 31/3/12 £'000	Real increase in CETV £'000
Executive Director					
Ms Yvonne Gailey	7.5 - 10.0	0 - 2.5	136	107	20
Mr Paul Keoghan	5.0 - 7.5	0 - 2.5	57	40	11

Salary

'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.

Performance Related Pay

Performance pay or bonuses are disclosed separately in the year in which they become payable.

Benefits in kind

None were payable in the year.

Pensions

Pension benefits are provided through the Civil Service Pension arrangements. Employees may be in one of the statutory based 'final salary' defined benefit schemes (classic, premium, classic plus, nuvos or partnership). The Schemes are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions payable under classic, premium, classic plus, and nuvos are increased annually in line with changes in the Retail Prices Index. Staff can choose between membership of premium or joining a good quality 'money purchase' stakeholder arrangement with a significant employer contribution (partnership pension account).

Employee contributions are set at the rate of 1.5% of pensionable earnings for classic and 3.5% for premium, classic plus, and nuvos. Benefits in classic accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum (but members may give up (commute) some of their pension to provide a lump sum). Classic plus is essentially a variation of premium, but with benefits in respect of service before 1 October 2002 calculated broadly as per classic. Under nuvos, an employee's pension account will be credited with a proportion of pensionable earnings in the year, the "pension build-up factor" is currently 2.3%. The pensionable age under nuvos is 65; if an employee draws their pension before this time their pension will be reduced for early payment, and if an employee draws their pension after this time their pension will be increased for late payment. Under nuvos the employee can give up part of their pension for an optional tax free lump sum, although the HMRC limits the amount of lump sum.

Further details about the Civil Service Pension arrangements can be found at the website www.civilservice-pensions.gov.uk.

Cash Equivalent Transfer Values

A Cash Equivalent Transfer Value (CETV) is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The CETV figures and the other pension details, include the value of any pension benefit in another scheme or arrangement which the individual has transferred to the Civil Service Pension arrangements and for which the CS Vote has received a transfer payment commensurate to the additional pension liabilities being assumed. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years of pension service in the scheme at their own cost. CETVs are calculated within the guidelines and framework prescribed by the Institute and Faculty of Actuaries.

Real increase in CETV

This reflects the increase in CETV effectively funded by the employer. It takes account of the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period.

Yvonne Gailey

Chief Executive and Accountable Officer

1 July 2013

Statement of the Risk Management Authority and Accountable Officer's Responsibilities

Under paragraph 13 of the Criminal Justice (Scotland) Act 2003, the Scottish Ministers have directed the Risk Management Authority to prepare for each financial year a statement of accounts in the form and on the basis set out in the Accounts Direction. The accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of the Risk Management Authority, and of its income and expenditure, recognised gains and losses, and cash flows for the financial year.

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

- observe the Accounts Direction issued by the Scottish Ministers, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- make judgements and estimates that are reasonable and prudent;
- state whether applicable accounting standards as set out in the Financial Reporting Manual have been followed, and disclose and explain any material departures in the financial statements; and
- prepare the financial statements on a going concern basis.

The Accountable Officer for the Scottish Government Justice Department designated the Risk Management Authority's Chief Executive, Ms Yvonne Gailey, as the Accountable Officer for the Risk Management Authority. Responsibilities as Accountable Officer, including the responsibility for the propriety and regularity of the public finances for which the Accountable Officer is answerable, for the keeping of proper records and for safeguarding the Risk Management Authority's assets, are set out in the Memorandum to Accountable Officers of Other Public Bodies.

The Accountable Officer is responsible for the maintenance and integrity of the corporate and financial information included on the Risk Management Authority's website. Legislation in the UK governing the preparation and dissemination of financial statements may differ from legislation in other jurisdictions.

Governance Statement

Scope of responsibility

As Accountable Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of the Risk Management Authority's policies, aims and objectives, whilst safeguarding the public funds and the Risk Management Authority's assets for which I am personally responsible, in accordance with the responsibilities assigned to me in the Management Statement and Financial Memorandum.

As Accountable Officer I have specific responsibility in relation to:

- planning, performance management and monitoring;
- advising the Risk Management Authority;
- managing risk and resources; and
- accounting for the Risk Management Authority's activities.

The Scottish Public Finance Manual (SPFM) is issued by the Scottish Ministers to provide guidance to the Scottish Government and other relevant bodies on the proper handling and reporting of public funds. It sets out the relevant statutory, parliamentary and administrative requirements, emphasizes the need for economy, efficiency and effectiveness, and promotes good practice and high standards of propriety.

The Governance Framework

The Risk Management Authority's governance framework is clearly defined within the context of the Management Statement and Financial Memorandum which specifically addresses:

- the functions, duties and powers of the Risk Management Authority;
- aims, objectives and targets;
- the responsibilities of the Convener, the Board and the Chief Executive;
- planning, budgeting and control;
- external accountability;
- staff management;
- reviewing the Risk Management Authority's role; and
- key financial and operating procedures.

The governance framework is further supported by a Code of Conduct for Board Members and a Risk Management Strategy which sets how significant risks facing the Risk Management Authority in the delivery of its corporate aims and objectives will be identified, evaluated and appropriately managed.

The Board

The Board has corporate responsibility for ensuring the Risk Management Authority fulfils the aims and objectives set by Scottish Ministers and for promoting the efficient and effective use of staff and other resources in accordance with the principles of Best Value. The Board is supported by an Accreditation Committee, Appeals Committee, Risk Management Plan Approval Committee, Research & Training Committee, Audit Committee and Remuneration Committee.

During 2012-13 the Board met formally on seven occasions. All meetings of the Board were quorate and on each occasion a full set of minutes were produced to record all agreed actions and decisions. On each occasion all Members submitted any declarations of interest and gifts and hospitality, with a full record made on the minutes in compliance with the Code of Conduct. In accordance with the Risk Management Authority's Publication Scheme, edited versions of these minutes are available on the website, www.rmascotland.gsi.gov.uk.

The Risk Management Authority has a Board Induction Programme in place which includes attendance at CIPFA On Board Training and a comprehensive Board Member's Handbook.

Risk Management

All bodies subject to the requirements of the SPFM must operate a risk management strategy in accordance with relevant guidance issued by Scottish Ministers. The general principles for a successful risk management strategy are set out in the SPFM.

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

The Risk Management Authority has a documented risk management strategy which specifies the roles of the Board, the Audit Committee and the Chief Executive and details the process of risk identification in relation to the Risk Management Authority's objectives. The strategy also details the process of risk categorisation and the approval and review structure for the Risk Register by the Audit Committee and Board.

To ensure risk management is embedded into processes the risk register is reviewed regularly and reported upon every 3 months and prior to each Audit Committee meeting. The risk register is reviewed in conjunction with the preparation of Corporate and Business Plans.

Assessment of Corporate Governance and Risk Management Arrangements

As Accountable Officer, I have responsibility for overseeing the Risk Management Authority's corporate governance arrangements including compliance with generally accepted best practice principles and relevant guidance. In addition, I have responsibility for reviewing the effectiveness of the Risk Management Authority's risk management arrangements and system of internal control. My review of the effectiveness of these systems has been informed by the following key processes:

- the management team within the Risk Management Authority who have responsibility for the development and maintenance of governance, performance and internal controls frameworks;
- the Board who has responsibility for receiving, monitoring and commenting on regular management reports on governance matters, performance outcomes and risk management;
- the work of the Risk Management Authority's Audit Committee as delegated by the Board which includes ongoing review of the Authority's external assurance functions and internal assessments on governance, risk and Best Value;
- the work of the internal auditors, who submit to the Risk Management Authority's Audit 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.
- My review and assessment has been informed directly by the following key processes which have operated continuously and effectively during the course of 2012-13:
 - meetings of the Board to consider, policies, plans and the strategic direction of the Risk Management Authority;
 - a programme of planned audits performed by the internal auditors with reports being presented to the Accountable Officer and the Audit Committee;
 - action plans are in place to correct any weaknesses identified by internal audit and these are monitored by the Audit Committee;
 - certificates of assurance are provided by the Director of Business Performance and Head of Internal Audit to support my review of the system of internal control;
 - meetings of the Risk Management Authority's Audit Committee;
 - regular meetings with staff on business plan objectives and risk identification;
 - a system of key performance and risk indicators;
 - a risk register for the Authority.

As Accountable Officer I can confirm that I am fully content with the effectiveness of the Risk Management Authority's existing arrangements to ensure appropriate standards of corporate governance and effective risk management. I can also confirm that there were no significant control weakness or identified lapses in data security during 2012-13.

Yvonne Gailey
Chief Executive and Accountable Officer
1 July 2013

Independent auditor's report to the members of the Risk Management Authority, the Auditor General for Scotland and the Scottish Parliament

I have audited the financial statements of the Risk Management Authority for the year ended 31 March 2013 under the Criminal Justice (Scotland) Act 2003. The financial statements comprise of the Statement of Comprehensive Net Expenditure, Statement of Financial Position, the Statement of Cash Flows, the Statement of Changes in Taxpayers' Equity and the related notes. The financial reporting framework that has been applied in their preparation is applicable law and International Financial Reporting Standards (IFRSs) as adopted by the European Union, and as interpreted and adapted by the 2012/13 Government Financial Reporting Manual (the 2012/13 FReM).

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 125 of the Code of Audit Practice approved by the Auditor General for Scotland, I do not undertake to have responsibilities to members or officers, in their individual capacities, or to third parties.

Respective responsibilities of the board, accountable officer and auditor

As explained more fully in the Statement of the Accountable Officer's Responsibilities, the Accountable Officer is responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. The Accountable Officer is also responsible for ensuring the regularity of expenditure and income. My responsibility is to audit and express an opinion on the financial statements in accordance with applicable law and International Standards on Auditing (UK and Ireland) as required by the Code of Audit Practice approved by the Auditor General for Scotland. Those standards require me to comply with the Auditing Practices Board's Ethical Standards for Auditors. I am also responsible for giving an opinion on the regularity of expenditure and income in accordance with the Public Finance and Accountability (Scotland) Act 2000.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts, disclosures, and regularity of expenditure and income in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the body's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Accountable Officer; and the overall presentation of the financial statements. It also involves obtaining evidence about the regularity of expenditure and income. In addition, I read all the financial and non-financial information in the annual report to identify material inconsistencies with the audited financial statements. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my report.

Opinion on financial statements

In my opinion the 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 2013 and of its net operating cost for the year then ended;
- have been properly prepared in accordance with IFRSs as adopted by the European Union, as interpreted and adapted by the 2012/13 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.

Independent auditor's report to the members of the Risk Management Authority, the Auditor General for Scotland and the Scottish Parliament

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.

Opinion on other prescribed matters

In my opinion:

- the part of the Remuneration Report to be audited has been properly prepared in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers; and
- the information given in the Convener's Foreword to the Annual Report and Accounts and in the Management Commentary, Board and Senior Staff and Public Interest Reporting sections of the Annual Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

Matters on which I am required to report by exception

I am required to report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the part of the Remuneration Report to be audited are not in agreement with the accounting records; or
- I have not received all the information and explanations I require for my audit; or
- the Corporate Governance Statement does not comply with guidance from the Scottish Ministers.

I have nothing to report in respect of these matters.



Asif A Haseeb

Audit Scotland
8 Nelson Mandela Place
Glasgow G2 1BT
1 July 2013

Statement of Comprehensive Net Expenditure

For the year ended 31 March 2013

	Notes	2012-13 £'000	2011-12 £'000
Expenditure			
Staff costs	2	718	698
Other admin costs	3	221	384
		939	1,082
Income			
Income from activities	4	-	(38)
Net operating costs		939	1,044

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

Statement of Financial Position

As at 31 March 2013

	Notes	2012-13 £'000	2011-12 £'000
Non-current assets			
Property, plant and equipment	5	9	21
Intangible assets	6	-	-
Total non-current assets		9	21
Current Assets			
Trade and other receivables	8	33	9
Cash and cash equivalents	9	441	384
Total current assets		474	393
Total assets		483	414
Current liabilities			
Trade and other payables	10	266	278
Total current liabilities		266	278
Non current assets plus net current assets		217	136
Non-current liabilities			
Provisions	11	48	36
Total non-current liabilities		48	36
Total liabilities		314	314
Assets less liabilities		169	100
Taxpayers Equity			
General Fund - Unallocated		89	100
General Fund – Allocated for EEPICS Project		80	-
Total taxpayers equity		169	100

Signed on behalf of the Risk Management Authority

Yvonne Gailey
Chief Executive and Accountable Officer
1 July 2013

Statement of Cash Flows

For the year ended 31 March 2013

	Notes	2012-13 £'000	2011-12 £'000
Cash flows from operating activities			
Net operating cost		(939)	(1,044)
Adjustments for non-cash transactions			
Depreciation	5,6	12	12
Movements in working capital			
(Increase)/decrease in trade and other receivables	8	(24)	5
Increase/(decrease) in trade and other payables	10	(12)	33
Increase in provisions		12	12
Release of government capital grant	-	-	-
Net cash outflow from operating activities		(951)	(982)
Cash flows from financing activities			
Scottish Government Grant		1,008	1,044
Net cash flow from financing		1,008	1,044
Net increase/(decrease) in cash and cash equivalents		57	62
Cash and cash equivalents at beginning of period	9	384	322
Cash and cash equivalents at end of period	9	441	384
Net change in cash and cash equivalents		57	62

Statement of Changes in Taxpayers' Equity

For the year ended 31 March 2013

	Notes	2012-13 £'000	2011-12 £'000
General Fund			
Balance at 1 April		100	100
Net operating cost for the year		(939)	(1,044)
Grant from Scottish Government		1,008	1,044
Balance at 31 March		169	100

Notes To The Accounts

For the year ended 31 March 2013

1. Accounting policies

Statement of accounting policies

These Accounts have been prepared in accordance with the Government Financial Reporting Manual (FRM) issued by HM Treasury, which follows International Financial Reporting Standards as adopted by the European Union (IFRSs as adopted by the EU, IFRIC Interpretations and the Companies Act 2006 to the extent that they are meaningful and appropriate to the public sector. They have been applied consistently in dealing with items that are considered material in relation to the accounts.

The preparation of the accounts in conformity with IFRS requires the use of certain critical accounting estimates. It also requires management to exercise its judgement in the process of applying the accounting policies. The areas involving a higher degree of judgement or complexity, or areas where assumptions and estimates are significant to the accounts, are disclosed in section (h) below.

(a) Accounting Convention

The accounts are prepared under the historical cost convention modified to account for the revaluation of property, plant and equipment, intangible assets and, where material, current asset investments and inventories to fair value as determined by the relevant accounting standard.

(b) Property, Plant and Equipment (PPE)

The threshold for capitalisation of Property, plant and equipment is £1,000. Amortised historic cost has been used as a proxy for fair value of plant and machinery.

Property, plant and equipment is amortised at rates calculated to write them down to estimated residual value on a straight line basis over their estimated useful lives as follows:

Buildings	over 10 yrs
Furniture & Fittings	over 5 yrs
Equipment	over 5 yrs
Information Technology	over 3 yrs
Software	over 3 yrs

All building and furniture & fittings will be fully written down to coincide with the expiry of the building lease on 28 February 2014.

(c) Intangible Assets

The threshold for capitalisation of Intangible Assets is £1,000. Amortised historic cost has been used as a proxy for fair value of plant and machinery.

Intangible Assets are amortised at rates calculated to write

them down to estimated residual value on a straight line basis over their estimated useful lives of three years.

(d) Receivables

All material amounts outstanding at 31 March 2013 have been brought into account irrespective of when actual payments were made.

(e) Payables

All material amounts outstanding at 31 March 2013 have been brought into account irrespective of when actual payments were made.

(f) Income and Government Grants

All expenditure of the Risk Management Authority is met from funds advanced by the Scottish Government within an approved allocation. Cash drawn down to fund expenditure within this approved allocation is credited to the general fund. All income that is not classed as funding is recognised in the period in which it is receivable. Funding for the acquisition of general non-current assets received from the Scottish Government is credited to the general fund. Funding received from any source for the acquisition of specific assets is credited to the government grant reserve and released to the operating cost statement over the life of the asset.

All income that is not classed as funding is recognised in the period in which it is receivable. In particular:

- Income from the sale of goods is recognised when the significant risks and rewards of ownership are transferred to the purchaser and it is probable that economic benefits or service potential associated with the transaction will flow to the Risk Management Authority; and
- Income from the provision of services is recognised when the Risk Management Authority can measure reliably the percentage of completion of the transaction and it is probable that economic benefits or service potential associated with the transaction will flow to the Risk Management Authority.

(g) Operating Leases

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

(h) Provisions

The Risk Management Authority provides for legal or constructive obligations that are of uncertain timing or amount at the balance sheet date on the basis of the best estimate of the expenditure required to settle the obligation. Where the effect of the time value of money is significant, the estimated cash flows are discounted using the discount rate prescribed by HM Treasury.

2. Staff Costs**Authority Members**

Salary

Social Security Costs

Total Authority Members

2012-13 £'000	2011-12 £'000
48	52
-	-
48	52

Administrative staff

Wages and salaries

Social Security costs

Pension costs

Agency staff

Total administrative Staff

2012-13 £'000	2011-12 £'000
535	502
45	43
90	91
-	10
670	646

Total Staff Costs

718	698
------------	------------

Average number of employees during the year:

Authority Members

Staff

No.	No.
7	8
17	16

3. Other Administrative Costs

Accommodation

Office equipment and furniture

Research and consultancy

IT Support

Training

Legal Fees & Expenses

Supplies & Services

Stationery

Catering and Hospitality

Expenses and Travel

Other Office Costs

Internal Audit Fee

External Audit Fee

Practitioner training

Depreciation

Increase in provision for bad and doubtful debts

Total

2012-13 £'000	2011-12 £'000
70	70
3	5
20	157
22	21
8	11
8	2
8	14
6	13
1	2
18	21
21	52
3	11
6	2
-	(9)
12	12
15	-
221	384

External Audit Fee Note:

The external audit fee for 2012-13 was £6,400 compared to £6,600 in 2011-12 (the 2011-12 variance relates to the release of a provision not required).

4. Income from Activities

Event and conference income

2012-13 £'000	2011-12 £'000
-	38

5. Property, plant and equipment

	Buildings £'000	Equipment £'000	Information Technology £'000	Furniture & Fittings £'000	Total £'000
Cost					
Balance at 1 April 2012	38	32	20	10	100
Additions	-	-	-	-	-
Disposals	-	-	-	-	-
Balance at 31 March 2013	38	32	20	10	100
Depreciation					
Balance at 1 April 2012	28	30	16	5	79
Charge for year	5	1	4	2	12
Disposals	-	-	-	-	-
Balance at 31 March 2013	33	31	20	7	91
NBV at 31 March 2013	5	1	-	3	9
NBV at 31 March 2012	10	2	4	5	21
Analysis of asset financing:					
Owned	5	1	-	3	9
Finance leased	-	-	-	-	-
NBV at 31 March 2013	5	1	-	3	9

6. Intangible Assets

	Software £'000	Total £'000
Cost		
Balance at 1 April 2012	106	106
Additions	-	-
Disposals	-	-
Balance at 31 March 2013	106	106
Depreciation		
Balance at 1 April 2012	106	106
Charge for year	-	-
Disposals	-	-
Balance at 31 March 2013	106	106
NBV at 31 March 2013	-	-
NBV at 31 March 2012	-	-

7. Financial Instruments

As the cash requirements of Risk Management Authority are met through grant funding, financial instruments play a more limited role in creating and managing risk than in a non public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with Risk Management Authority's expected purchase and usage requirements, and therefore Risk Management Authority is therefore exposed to little credit, liquidity or market risk.

8. Trade Receivables and other current assets

Amounts falling due within one year:

Other receivables

Bad debt provisions

Total receivable within 1 year

2012-13 £'000	2011-12 £'000
48	9
(15)	-
33	9

9. Cash and cash equivalents

Balance at 1 April

Net change in cash and cash equivalent balances

Balance at 31 March

The following balances at 31 March were held at:

Government Banking Service and cash in hand

Balance at 31 March

2012-13 £'000	2011-12 £'000
384	322
57	62
441	384
441	384
441	384

10. Trade payables and other current liabilities

Amounts falling due within one year:

Accruals and deferred income

Total due within one year

2012-13 £'000	2011-12 £'000
266	278
266	278

11. Provisions for liabilities and charges

The current lease on the premises at St James' House expires on 28 February 2014. As part of the lease agreement the Risk Management Authority has an obligation to cover any dilapidations and reinstatement costs that may be required at the end of the lease. As such a provision has been established, based on the best estimate of the present value of expenditure required to settle the obligation. During the year the cost of the dilapidations was estimated at £60,000. Accordingly, the provision will be increased to this level over the remaining term of the lease.

	2012-13 £'000	2011-12 £'000
Balance at 1 April	36	24
Provided in year	12	12
Balance at 31 March	48	36

12. Related Party Transactions

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

RMA Board Member Professor Jim McManus – contract awarded to deliver Court Room Skills Course

13. Capital Commitments and Contingent Liabilities

The operating lease contains provision to return the premises occupied by the Risk Management Authority to the same condition as when the lease was entered upon expiry of the lease. The costs for completing this dilapidation is expected to be £60,000 and a provision for £12,000 against these costs have been made in these financial statements. Note 11 refers to this provision in more detail.

14. Commitments under leases

The total value of commitments under operating leases is £35,000

Obligations under operating leases comprise:

	31 March 2013 £'000	31 March 2012 £'000
Buildings:		
Not later than one year	35	79
Later than one year and not later than five years	-	-
Later than five years	-	-

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

15. Segment Reporting

The Risk Management Authority has three business segments. Operational costs, this segment reflects the core costs for providing the functions of the Authority. Research & Development, this segment reflects the direct costs relating to the advancement of a shared framework of effective and ethical risk assessment and risk management practice of offenders. Order for Lifelong Restriction, this segment reflects the direct costs associated to assuring quality of practice in the risk assessment and management of offenders subject to an Order for Lifelong Restriction.

	2012-13 £'000	2011-12 £'000
Income:		
Operational	-	-
Research & Development	-	38
Order for Lifelong Restriction	-	-
Total income	-	38
Expenditure:		
Operational	353	467
Research & Development	402	428
Order for Lifelong Restriction	184	187
Total expenditure	939	1,082
Assets:		
Operational	453	410
Research & Development	30	4
Order for Lifelong Restriction	-	-
Total assets	483	414
Liabilities:		
Operational	142	102
Research & Development	156	196
Order for Lifelong Restriction	16	16
Total liabilities	314	314

16. Analysis of Current Assets and Liabilities

	2012-13 £'000	2011-12 £'000
Current Assets:		
Central Government	2	3
Other Government Bodies	-	3
External	31	3
Total current assets	33	9
Current Liabilities:		
Central Government	52	31
Other Government Bodies	37	15
External	177	232
Total current liabilities	266	278



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 handwritten signature in cursive script, appearing to read 'Steve Richardson'.

A member of the staff of the Scottish Ministers

Dated 10 February 2006

Appendix A:

OLR case data

Index	Offence	Sentence	Eligible for Parol (at 31/03/2013)	Lead Authority
1	Breach of SOPO	0-5 years	Yes	Scottish Prison Service
2	Breach of the peace	0-5 years	Yes	Scottish Prison Service
3	3 x Breach of the peace assault, abduction	0-5 years	Yes	Scottish Prison Service
4	Indecent photos of children	0-5 years	No	Scottish Prison Service
5	Assault with intent to rape	10-15 years	No	Scottish Prison Service
6	Rape	10-15 years	No	Scottish Prison Service
7	Assault and attempted rape	0-5 years	Yes	Scottish Prison Service
8	Attempted Murder	0-5 years	Yes	Scottish Prison Service
9	Assault to severe injury	0-5 years	No	Scottish Prison Service
10	Assault with intent to rape x4	0-5 years	Yes	Scottish Prison Service
11	Breach of the peace and breach of SOPO	0-5 years	Yes	Scottish Prison Service
12	Rape	0-5 years	No	Scottish Prison Service
13	Indecent assault and breach of the peace	0-5 years	Yes	Scottish Prison Service
14	Assault with intent to rape	0-5 years	Yes	Scottish Prison Service
15	Assault to severe injury and endangerment of life	0-5 years	Yes	Scottish Prison Service
16	Sodomy	0-5 years	Yes	Scottish Prison Service
17	Assault with attempted rape	0-5 years	Yes	Scottish Prison Service
18	Assault to injury and robbery	0-5 years	Yes	Scottish Prison Service
19	Severe injury, permanent disfigurement to the danger of life	0-5 years	Yes	Scottish Prison Service
20	Assault with intent to rape and indecent photos of children	0-5 years	No	Scottish Prison Service
21	Assault and rape and indecent photos of children	0-5 years	No	Scottish Prison Service

Index	Offence	Sentence	Eligible for Parol (at 31/03/ 2013)	Lead Authority
22	Breach of a SOPO	0-5 years	Yes	Scottish Prison Service
23	Lewd, Indecent, and libidinous practices and behaviour	0-5 years	Yes	Scottish Prison Service
24	Breach of the peace and stalking	0-5 years	Yes	NHS
25	Assault to severe injury, permanent disfigurement and endangerment of life and robbery	0-5 years	Yes	Scottish Prison Service
26	Abduction and rape	0-5 years	Yes	Scottish Prison Service
27	Assault and breach of the peace (sexually motivated)	0-5 years	Yes	Scottish Prison Service
28	Assault with knife to severe injury, permanent disfigurement and endangerment to life	0-5 years	No	Scottish Prison Service
29	Theft	0-5 years	Yes	Scottish Prison Service
30	Lewd and libidinous practices and behaviour, rape and sodomy	0-5 years	Yes	Scottish Prison Service
31	Rape and assault with intent to rape	0-5 years	Yes	Scottish Prison Service
32	Assault and robbery x2	0-5 years	No	Scottish Prison Service
33	Assault to severe injury and attempted murder	0-5 years	No	Scottish Prison Service
34	Breach of the peace	0-5 years	Yes	Scottish Prison Service
35	Attempted rape	0-5 years	No	Scottish Prison Service
36	Lewd, Indecent, and libidinous practices and behaviour	0-5 years	No	Scottish Prison Service
37	Indecent assault, breach of the peace, breach of bail conditions	0-5 years	No	Scottish Prison Service
38	Rape	0-5 years	No	Scottish Prison Service
39	Assault to severe injury, permanent disfigurement and danger of life	0-5 years	No	Scottish Prison Service

Index	Offence	Sentence	Eligible for Parol (at 31/03/ 2013)	Lead Authority
40	Assault and robbery	0-5 years	No	Scottish Prison Service
41	Assault and robbery	0-5 years	No	Scottish Prison Service
42	Attempted rape	0-5 years	No	Scottish Prison Service
43	Attempted murder	0-5 years	No	Scottish Prison Service
44	Assault to severe injury	0-5 years	No	Scottish Prison Service
45	Assault to Injury and permanent disfigurement	0-5 years	No	Scottish Prison Service
46	Indecent assault and breach of SOPO	0-5 years	No	Scottish Prison Service
47	Rape, indecent photos of children	0-5 years	No	Scottish Prison Service
48	Attempted murder whilst on bail	0-5 years	No	Scottish Prison Service
49	Sexual assault	0-5 years	No	Scottish Prison Service
50	Assault and attempted rape	0-5 years	No	Scottish Prison Service
51	Attempted murder; rape; breach the peace; of assault to severe injury	0-5 years	No	Scottish Prison Service
52	Rape of a young child	0-5 years	No	Scottish Prison Service
53	Assault and robbery	0-5 years	No	Scottish Prison Service
54	Sexual assault on a young child	0-5 years	No	Scottish Prison Service
55	Child sex offences	0-5 years	No	Scottish Prison Service
56	Assault	0-5 years	No	Scottish Prison Service
57	Breach of the peace	0-5 years	No	Scottish Prison Service
58	Rape	0-5 years	No	Scottish Prison Service
59	Assault to severe injury and permanent disfigurement	0-5 years	No	Scottish Prison Service
60	Rape	0-5 years	No	Scottish Prison Service

Index Offence	Sentence	Eligible for Parol (at 31/03/ 2013)	Lead Authority
61 Attempted rape	0-5 years	No	Scottish Prison Service
62 Assault, robbery and abduction	0-5 years	No	Scottish Prison Service
63 Attempted murder	15-20 years	No	Scottish Prison Service
64 Rape	5-10 years	No	Scottish Prison Service
65 Culpable homicide	5-10 years	No	Scottish Prison Service
66 Rape	5-10 years	Yes	Scottish Prison Service
67 Rape	5-10 years	No	Scottish Prison Service
68 Attempted murder	5-10 years	No	Scottish Prison Service
69 Assault with intent to rape	5-10 years	No	Scottish Prison Service
70 Attempted murder	5-10 years	Yes	Scottish Prison Service
71 Assault, rape and abduction	5-10 years	No	Scottish Prison Service
72 Assault and robbery	5-10 years	No	Scottish Prison Service
73 Rape and assault with intent to rape	5-10 years	No	Scottish Prison Service
74 Assault to severe injury	5-10 years	No	Scottish Prison Service
75 Abduction of a child, lewd and libidinous practices and behaviour (child), assault to injury and danger of life (child)	5-10 years	No	Scottish Prison Service
76 Abduction, assault and theft	5-10 years	No	Scottish Prison Service
77 Rape and sodomy	5-10 years	No	Scottish Prison Service
78 Conspiracy	5-10 years	No	Scottish Prison Service
79 Conspiracy	5-10 years	No	Scottish Prison Service
80 Rape	5-10 years	No	Scottish Prison Service
81 Rape, lewd and libidinous practices	5-10 years	No	Scottish Prison Service

Index	Offence	Sentence	Eligible for Parol (at 31/03/ 2013)	Lead Authority
82	Attempted murder whilst on bail	5-10 years	No	Scottish Prison Service
83	Attempted rape and assault	5-10 years	No	Scottish Prison Service
84	Attempted murder and breach of SOPO	5-10 years	No	Scottish Prison Service
85	Hamesucken and robbery	5-10 years	No	Scottish Prison Service
86	Various charges of various sexual offences including contact and non-contact offending	5-10 years	No	Scottish Prison Service
87	Abduction, rape, assault to severe injury, permanent disfigurement, danger of life and attempted murder	5-10 years	No	Scottish Prison Service
88	Rape	5-10 years	No	Scottish Prison Service
89	Rape	5-10 years	No	Scottish Prison Service
90	Lewd and libidinous practices and behaviour	5-10 years	No	Scottish Prison Service
91	Hamesucken	5-10 years	No	Scottish Prison Service
92	Sex offences	5-10 years	No	Scottish Prison Service
93	Breach of bail, assault to severe injury, permanent disfigurement, permanent impairment and to the danger of life	5-10 years	No	Scottish Prison Service
94	Rape	5-10 years	No	Scottish Prison Service
95	Rape	5-10 years	No	Scottish Prison Service
96	Rape	5-10 years	No	Scottish Prison Service

Appendix B:

Results against Business Plan 2012-13 Performance Targets

Strategy 1: Best Practice	
Performance Targets	Details
<p>Supporting evidence-based policy We work towards achieving best practice through promoting ourselves and ensuring our contribution and influence to policies and practices through promoting ourselves to key stakeholder groups and critical working parties.</p>	<ul style="list-style-type: none"> • Feedback provided to SPS on its risk management and progression guidance. • Review conducted and input provided to ACPOS's guidance on MAPPA and young offender management. • Contribution made to guidance on young people with sexually problematic behaviour. • National FRAME Implementation Group (FIG) convened, with representatives from the Scottish Government, ADSW, ACPOS, SPS, Forensic Network and the Care Inspectorate. • Support provided to stakeholders on recommendations coming from the SA07 evaluation report. • Contribution made to the MAPPA Annual Report.
<p>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 management.</p>	<ul style="list-style-type: none"> • SAPROF training disseminated to staff across the NHS, SPS and criminal justice social work as a result of train the trainer sessions organised by the RMA. • Practitioners seminar held on SA07 quality assurance. • Workshop delivered on the use of risk tools. • Five year contract issued to the School of Forensic Mental Health to deliver the RMA's Risk Assessment Report Writing Module.
Strategy 2: Research & Innovation <i>continued</i>	
Performance Targets	Details
<p>Offender Risk/Need Profiles We will make use of the data arising from the implementation of LS/CMI to increase understanding of offender types, and so inform practice, service delivery and policy.</p>	<ul style="list-style-type: none"> • Normative LS/CMI data gathered from local authorities across Scotland, and in-practice evaluation reports published on our website. • LS/CMI and SA07 normative data research plans developed. • Evaluations carried out on full LS/CMI case samples.
<p>Evaluation & Research We will continue to identify and provide means by which we may further Scotland's knowledge and expertise in risk assessment and management.</p>	<ul style="list-style-type: none"> • OLR data tables maintained and monitored to support the effective application of this sentence. • Resources and learning materials developed for the Enhancing Effective Practice in Community Supervision project (EPPICS).

Strategy 3: Setting The Standard	
Performance Targets	Details
<p>Accreditations We will ensure that evidence of a high standard is provided before persons (Assessors) and manners (methods) are accredited by the RMA.</p>	<ul style="list-style-type: none"> Updated Manner of Risk Assessment accredited, being the manner used for the purposes of risk assessments carried out by RMA Accredited Assessors.
<p>Quality Assurance of Risk Assessment Reports We will develop systems to monitor quality to ensure sustained best practice in the preparation of Risk Assessment Reports.</p>	<ul style="list-style-type: none"> Review conducted of RMP, AIR and Accreditation internal processes to ensure compatibility with revised Standards & Guidelines.
<p>Quality Assurance of RMP Process 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.</p>	<ul style="list-style-type: none"> Governance review of RMP Committee procedures conducted, with enhanced processes and decision templates implemented.
<p>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.</p>	<ul style="list-style-type: none"> Draft Standards & Guidelines for Risk Management produced and a stakeholder consultation process conducted via the RMA website, with a view to publication in summer 2013. RATED version 3 content finalised and draft version peer reviewed. Designer commissioned to create the published version and structures put in place for a dedicated microsite for RATED, which will be launched in summer 2013.

Strategy 4: Raise The Standards	
Performance Targets	Details
<p>Generic Training activities to support FRAME We will collaborate with our partners to build skills development programmes to prepare and support all those working within FRAME.</p>	<ul style="list-style-type: none"> • Focus groups and scoring exercises held with LS/CMI practitioners to inform the quality of training. • LS/CMI learning evaluation reports completed and communicated across each Community Justice Area. • Support provided to LS/CMI trainers in collaboration with the Cognitive Centre Foundation. • Supporting Best Practice section of the RMA website further developed, with LS/CMI learning evaluation and in-practice reports published. • Structures put in place and 70 + mentors identified to form a national LS/CMI mentors forum. Resources developed for the forum include an online discussion facility and Q&A facility; to be launched on the RMA website in 2013-14.
<p>Tier-Specific Training for FRAME We will collaborate with our partners to identify and design training and development programmes appropriate to each of the three tiers of FRAME.</p>	<ul style="list-style-type: none"> • Training materials developed for a Risk Management Planning and Practice course, with a course trialing use of the new materials held in November 2012. A train the trainer event will be held using the new materials in summer 2013, which will be reviewed by the School of Forensic Mental Health who will deliver the course thereafter.

Strategy 5: Improving The Service	
Performance Targets	Details
<p>Human Resources We will adhere to our human resource policies and align our activities to the corporate strategies.</p>	<ul style="list-style-type: none"> • Work study analysis on OLR case management conducted to inform future staff resource requirements and allow greater understanding of case management processes. • Training programme for RMA line managers held, facilitated by an HR professional, to ensure the consistent and equal application of HR policies and procedures. Topics covered were performance management, absence management, disciplinary and employing young people.
<p>Communications We will review, update and implement internal and external communication policies and procedures in line with the corporate strategies.</p>	<ul style="list-style-type: none"> • RMA website development group assembled and a review conducted of website capabilities to identify potential improvements. This led to the commissioning of the microsite for RATED along with a series of changes for the main site including an e-reader for publications. The website updates and microsite will go live in summer 2013.
<p>Information Technology We will investigate and realise potential in IT applications and exploit its use to support and improve the services we provide.</p>	<ul style="list-style-type: none"> • New case management system for 'restricted' level files put in place
<p>Governance & Management We will enhance systems that facilitate the governance of RMA management processes.</p>	<ul style="list-style-type: none"> • New Disturbance Policy and Procedure developed and implemented. • Root and branch review conducted of all RMA Board and Committee governance procedures, to bolster current practices and provide recommendations for enhanced structures that support the Board's application of its strategic oversight duties. Activities undertaken included a board member self evaluation review and the drafting of a new scheme of delegation and terms of reference.
<p>Finance We will maximise our capabilities through effective financial Management.</p>	
<p>Sustainability We will work to maintain corporate sustainability for the RMA while ensuring that we reduce our impact on the environment.</p>	<ul style="list-style-type: none"> • Project plan developed and team assembled to support the negotiation of new lease arrangements for the RMA. Potential premises were reviewed and discussions were held with relevant Scottish Government departments to inform this decision, which will be finalised in summer 2013.

Glossary

Acronym	Full Term	Definition
ACPOS	Association of Chief Police Officers in Scotland	Association of all chief police officers and some senior police staff of the 8 Scottish police forces, the Scottish Crime and Drug Enforcement Agency, the Scottish Police College and the Assistant Chief Constable of the British Transport Police (Scotland).
ADSW	Association of Directors of Social Work	Professional association representing senior social work managers in local government in Scotland
COPFS	Crown Office Procurator Fiscal Service	Service responsible for the prosecution of crime in Scotland, the investigation of sudden or suspicious deaths, and the investigation of complaints against the police
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
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
RAO	Risk Assessment Order	Issued by the High Court regarding an offender who is being considered for an Order for Lifelong Restriction
RAR	Risk Assessment Report	Produced by an RMA Accredited Assessor on behalf of the High Court for someone who is subject to a Risk Assessment Order
RATED	Risk Assessment Tool Evaluation Directory	Directory of Risk Assessment Tools
RMP	Risk Management Plan	Required by law, for an offender subject to an Order for Lifelong Restriction, approved by the Risk Management Authority. A Risk Management Plan is prepared by the lead authority
SA07	Stable and Acute 2007	Risk Assessment Tool
SAPROF	Structured Assessment of Protective Factors	Risk Assessment Tool
SPS	Scottish Prison Service	Scottish Government Agency

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