

Annual Report and Accounts 2015-2016



Risk Management Authority



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Convener's Foreword

Welcome to the Risk Management Authority's (RMA) Annual Report and Accounts for 2015-16.

As 2015-16 has been the last full year of my convenership, I think it appropriate to consider the achievements of the past year as being simply the latest chapter in the life of the Risk Management Authority (RMA) since its establishment in 2005 and to see these achievements as the ongoing manifestation of the significant contribution of the RMA to public safety, through the preparation and publication of its standards and guidelines for the assessment and management of risk, its development and promotion of effective risk practice and its advisory, research and other support mechanisms provided to the many professionals working in this field.

Risk, in this context, means the risk that a person presents to the safety of the public due to offending that is violent, sexual or otherwise life-endangering. The purpose of risk assessment and management is the prevention of such harm.

The RMA has specific and important roles relating to the risk management of some of the most serious offenders, who are subject to orders for lifelong restriction (OLR): approving risk management plans; monitoring the implementation of those plans; and a regulatory role in relation to the accreditation of highly qualified specialist risk assessors, who prepare reports for the guidance of the Justiciary in cases where an OLR is being considered.

When I joined the RMA in 2006, it was a very young organisation, which was engaged in the essential early tasks of establishing its practices, policies and procedures and naturally its first priority was to establish those that related to the OLR. A primary and compelling concern at that time was attracting and accrediting a sufficient cohort of assessors to serve the High Court, and ensuring that approval processes were in place in anticipation of the first OLRs being made. It is gratifying to compare that valid concern with the now satisfactory and sufficient provision.

However, within two years, the RMA began the extension of its work to the wider criminal justice field, and even at this early stage, turned its attention to the next priority that it was charged with – the creation of a framework of methodical, consistent risk assessment and management that set standards for practice across the criminal justice arena and provided a much needed shared 'language of risk'. The RMA has worked with all involved in this area of endeavour to develop and integrate this framework into practice and policy in numerous ways that are detailed in previous and current annual reports. Most recently, the RMA has delivered an extensive programme of advanced training which enhances professional standards and gives new confidence to practitioners engaged in this crucial process.

It has been my privilege to work for the past ten years alongside dedicated people on the Board and staff of the RMA, Scottish government and elsewhere in the criminal justice family. It has also been my privilege to lead an organisation from its infancy through its formative years to a point where it is fully realising its purpose. Naturally in so doing, the RMA has encountered and successfully overcome challenges. But, I cannot fail to mention the long-standing challenge of substantially reduced budget, which now threatens the advancement of many of our achievements and, indeed, the delivery of the statutory functions that provide for them.

I do not dwell on this issue here, knowing that it will be explained and expanded upon in the body of the Annual Report. My aim is to describe the momentum of vision, collaboration and accomplishment, which, as I depart from this role, I entrust to others to maintain.



Peter Johnston
Convener

Performance Report

Chief Executive's Commentary

As Chief Executive and Accountable Officer of the RMA I introduce this section of our annual report, which details our activities over the past twelve months against our business plan objectives.

Our work is driven by a commitment to promote best practice in risk assessment and risk management, recognising its vital dual role in protecting the public from serious harm caused by violent and sexual offending, and enabling those who pose this risk to reduce it.

2015-2016 saw a number of key achievements.

Last year, we developed an initial field-test of a training programme – *The Fundamentals of Risk Practice*, designed to advance criminal justice social workers' skills in the assessment and management of risk of serious harm.

This reporting year, it became apparent that an immediate, large-scale delivery of this training was necessary to allow the implementation of the Scottish Government's policy commitment to extend the Multi Agency Public Protection Arrangements (MAPPA).

The success of this policy relies on the accurate identification of the 'critical few' by criminal justice social workers. The agencies concerned considered that training was needed to ensure confidence and competence in the risk assessment process.

In response, the RMA secured the necessary funding from Scottish Government, developed and delivered a demanding programme of training courses for criminal justice social workers, Police Scotland staff and MAPPA chairs and successfully provided the necessary training to the required number of staff, on schedule, within a very tight timescale.

Moreover, the outcomes of this training are significant and encouraging: Local Authority Criminal Justice Services and Police Scotland responded enthusiastically by committing staff to attend the training and ensuring a very high attendance rate. Participants reported a high level of satisfaction with the training, knowledge gain and confidence in their newly-gained or refreshed skills.

This has been a truly collaborative endeavour, supported by the Scottish Government and the front-line agencies. Naturally, I am particularly proud of this achievement as it demonstrates the commitment and ability of the RMA to respond to and support urgent policy needs. In this connection, I pay tribute to the commitment and flexibility of staff of the RMA, which enabled us to support Scottish Government's policy in this way.

Continued over

Chief Executive's Commentary *CONTINUED*

Over many years, the RMA has led on the long-standing objective of designing, implementing and evaluating a shared risk assessment method¹, incorporating a common risk/needs assessment tool (LS/CMI²). Last year, I reported that after a decade that involved development, testing, implementation support and quality assurance by the RMA, alongside funding and sponsorship by Scottish Government and implementation by Criminal Justice Services, we were on the verge of having the first evaluation of the effectiveness of the method and the tool. This year the evidence that was forthcoming indicated that the method was performing well and was thus being applied well in Scotland in the early years of implementation. This has allowed the RMA to disseminate this information through a seminar, on our website and provide information to support practice – a significant achievement for all parties.

On the specific duties associated with the OLR, the RMA has maintained a robust approach to accreditation (ensuring that there was an appropriate number of accredited assessors to meet High Court requirement) and approval (all risk management plans were approved within the statutory timeframe) and continued the regular task of reviewing and improving processes to increase effectiveness and efficiency. The major achievement this year has been in concluding the development of a leaner approach to annual implementation reporting that meets the legislative requirements and supports good risk management practice. This will have a positive impact for Scottish Prison Service and the RMA, as the steadily increasing number of cases was causing delays in submission and evaluation of such reports. This new approach will be launched in June 2016.

This year, the RMA has also had to counter certain risks to the delivery of its statutory functions and achievement of corporate objectives. Due to the nature of the Order for Lifelong Restriction sentence, our workload inevitably increases year on year, whilst our budget has decreased by 33% since 2009.

1. FRAME which is the shared practice method.

2. The Level of Service and Case Management Inventory (LS/CMI), published by Andrews, Bonta and Wormith in 2004, was the chosen instrument.

In response, we have been compelled to transfer resources within the RMA team from research and development activities to casework. The consequence is that the valued and valuable contribution to the wider field of criminal justice is increasingly difficult to deliver. The RMA Board and Audit Committee have recognised that the impact of this risk could be serious, if the RMA becomes unable to deliver some of its statutory functions.

Our achievements have been realised through the commitment of a valued team of Board and staff members, and the support and collaboration of partners. I wish to offer particular appreciation to Peter Johnston who has served the RMA devotedly for 10 years. As Convener he has led the RMA through times of success, change and challenge, approaching all of them in a calm, diplomatic and positive manner. I am very grateful for his support and guidance throughout those years.

I am pleased to present this annual report which demonstrates meaningful achievements and progress in 2015-16, and identifies challenges which we will address in the coming year.



Yvonne Gailey
Chief Executive



What we do

The Risk Management Authority's purpose is to make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes.

By so doing, our work helps to protect the public, and promote rehabilitation and reintegration of those who offend.

A significant contribution that we have made has been in the development of a shared, evidence based approach to risk practice. We call this approach FRAME – a framework for risk assessment, management and evaluation. We consider it a major achievement that all the relevant justice agencies in Scotland have committed to this approach, and we work with those agencies continuously to find new ways to advance consistency and effectiveness.

FRAME is a contribution to practice generally; but, we also have a particular responsibility in relation to the risk assessment and management of serious violent and sexual offenders. We approach this responsibility in many ways, but notably by giving continuous support to those involved in the Multi Agency Public Protection Arrangements (MAPPA). We work closely with Scottish Government, Police Scotland, Local Authority Criminal Justice Services, Scottish Prison Service and the National Health Service to ensure that policies and practices reflect the standards that we set.

Furthermore, we have specific responsibilities in relation to the Order for Lifelong Restriction (OLR). The OLR was introduced to provide lifelong risk management of those who pose the greatest risk of seriously endangering the lives or well-being of the public at large through violent or sexual offending³. The OLR is a sentence imposed by the High Court that constitutes imprisonment or detention for an indeterminate period, and lifelong management in the community on release.

Such a life restricting sentence designed to prevent life endangering harm needs mechanisms to ensure that is applied when justified, and only then. But a sentence in itself does not manage nor reduce risk; further mechanisms need to be in place to ensure that efforts

are made throughout the sentence to reduce risk, both to protect the public and provide the individuals subject to the OLR with the opportunity of release. The RMA undertakes a number of functions that uphold this balancing of rights.

We accredit professionals who have exceptional expertise in the field of risk assessment to advise the High Court in cases where it is considering the appropriateness of an OLR. Those assessors only attain accreditation after satisfying an exacting selection process.

Once the OLR has been made, a risk management plan is required to be prepared and updated throughout the subject's life, to ensure the dual purpose of protecting the public at large and affording the individual opportunities to achieve and demonstrate reduction in the risk s/he poses.

The RMA has a duty to approve plans that meet the requirements set out in the legislation, to reject and advise on plans that are not sufficient, and to every year be assured that the plans are being implemented as intended.

To meet these responsibilities we have to set standards for practice which must be regarded by all involved, support others in meeting those standards, and have in place a set of robust processes by which we administer our accreditation and approval functions.

In so doing, our work attracts international interest and brings valued attention to the Scottish policy in relation to serious violent and sexual offenders. It has been noted that this approach provides a rigour unparalleled elsewhere in the world⁴, and indeed the RMA was called upon by the Council of Europe to support its drafting of a recommendation on dangerous offenders.

However, we cannot be complacent or stand still: we have a duty to keep these provisions under review and advise Scottish Ministers. We also have to work hard to continually review and improve our own processes to ensure that they are robust, effective and efficient.

We will elaborate on our work on all of these matters in the remainder of this annual report.

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

4. McSherry, B., & Keyzer, P. (2009) *Sex Offenders and Preventive Detention: Politics, Policy and Practice*. Sydney: Federation Press.

Performance Analysis

Performance against RMA Business Plan Objectives

The RMA Corporate Plan 2013-16 contains a set of strategic aims that have been developed in alignment with Scottish Government National Outcomes and the Justice Strategy for Scotland.

Our corporate objectives and strategies are linked to these Scottish Government strategies to ensure that the RMA directly supports the delivery of national policy initiatives and ultimately contributes to the national objective of making Scotland safer and stronger.

The RMA Business Plan 2015-16 set out thirteen objectives that contributed to the achievement of our strategic aims. The Business Plan objectives were grouped according to our three strategic aims: Strategic Aim 1 concerns risk assessment and management practices; Aim 2 concerns the processes that support the Order for Lifelong Restriction (OLR) sentence; and Aim 3 relates to our internal processes and governance arrangements.

Business Plan

Contributions to National Outcomes and Priorities

PURPOSE	To focus government and public services on creating a more successful country, with opportunities for all of Scotland to flourish, through increasing sustainable economic growth.			
NATIONAL OUTCOMES	We live our lives safe from crime, disorder and danger.		Our public services are high quality, continually improving, efficient and responsive to local people's need.	
JUSTICE OUTCOMES	We experience low levels of crime.	We experience low levels of fear, alarm and distress.	We have high levels of confidence in justice institutions and processes.	Our institutions and processes are effective and efficient.
PRIORITIES	Reducing crime, particularly violent and serious organised crime.	Reducing reoffending.	Widening access to justice and advancing law reform.	Increasing public confidence and reducing fear of crime.
PURPOSE	Make Scotland safer by setting the standard for risk practice to reduce reoffending and the harm that it causes.			
STRATEGIC AIMS	The RMA will advance a shared framework of effective and ethical risk assessment and management practice.	The RMA will assure the quality of practice in risk assessment and management of offenders subject to an Order for Lifelong Restriction (OLR).	The RMA will ensure our decisions are defensible and our processes are administered with integrity.	
OUTCOMES	<p>Inform policy decisions relating to risk assessment and management with learning from national and international research and practice.</p> <p>Promote the implementation of evidence based practices through the development of learning, quality assurance and evaluation resources.</p> <p>Develop and publish Standards and Guidelines.</p>	<p>Administer the accreditation process and evaluate performance to ensure assessors have regard to our standards and guidelines and comply with the code of conduct.</p> <p>Support and guide Lead Authorities in the preparation of Risk Management Plans.</p> <p>Ensure Risk Management Plans comply with legislation and have regard to our Standards and Guidelines.</p> <p>Evaluate the implementation of approved Risk Management Plans.</p> <p>Collate and analyse data on the application of the order for lifelong restriction to inform policy and practice.</p>	<p>Continually improve decision making processes to ensure good governance, transparency and fairness.</p> <p>Manage resources effectively and promote a learning culture in all that we do.</p> <p>Develop our communication systems to enhance dissemination of our work and collaboration with stakeholders.</p> <p>Continually develop and enhance our performance management systems.</p>	
OUTCOMES	Objectives for 2015-16 Learning & Development Research and Evaluation Standards and Guidelines Quality Assurance	Objectives for 2015-16 OLR external engagement OLR internal processes Accreditation processes	Objectives for 2015-16 Conference Best practice seminars E-newsletter Digital media Governance Records Management	

Strategic Aims

This section of the annual report describes each of these strategic aims in turn and notes our performance against the business plan objectives for this year.

Strategic Aim 1

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

The RMA works closely with partner agencies to develop and promote risk assessment and management practices that are proportionate, meaningful and legitimate. 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.

Our Approach to achieving this aim involves three elements: publish standards and guidelines relating to risk assessment and management that draw on learning from national and international research and practice; inform policy decisions; promote the implementation of evidence based practices through training, quality assurance and evaluation.

Notable activity in 2015-16 supporting Strategic Aim 1:

- We progressed the FRAME approach and practice method through implementation support, quality assurance and evaluation. This involved the publication of a LSCMI⁵/FRAME validation study and the hosting of a conference to disseminate the findings and analyses to practitioners from across the UK and Europe.
- We produced a LS/CMI report that examined the risk of serious harm, strengths and protective factors. This report will be provided to the LS/CMI working group with a view to wider dissemination in 2016/17.

- We supported the implementation of the sex offender treatment programme, Moving Forwards Making Changes (MF:MC). This involved coordinating clinical support for the programme; and reviewing clinical support and learning evaluations to produce final reports on quality assurance measures. This successfully concluded our MF:MC contract with Scottish Government.
- We informed and supported new policy developments, including advising the MAPPAs⁶ Extension Advisory Group on the extension of MAPPAs to other categories of offenders.
- We responded to a demand for training by developing courses on risk practice: The 'Fundamentals of Risk Practice' training materials were produced, comprising focussed content for Criminal Justice Social Workers, Police Scotland; and MAPPAs chairs. Thus far we have delivered:
 - 11 'Fundamentals of Risk Practice courses' to CJSW⁷ practitioners
 - 5 risk practice courses to Police Scotland Offender Management officers
 - 4 awareness sessions to MAPPAs Chairs
 - Supported Criminal Justice Social Work with a view to a shared model of training delivery
 - Developed and commenced multi-level learning evaluation on the Fundamentals of Risk Practice training to measure its impact.
- We provided support to the development of the Throughcare Assessment Release Licence (TARL)⁸ guidance and template. Our involvement in this supports the Scottish Government's Parole Change Project.
- We produced an analysis of Order for Lifelong Restriction profile data, with a view to publication in 2016/17.

5. The LS/CMI is a comprehensive general offending risk/need assessment and case management planning method. The LS/CMI is used in Scotland to aid decisions on the level and focus of intervention with people aged 16+

6. Multi Agency Public Protection Arrangements

7. Criminal Justice Social Work

8. Throughcare provides services to prisoners during and after their sentence. The objectives are to help prisoners and their families to prepare for release and to resettle in the community; to increase community safety and public protection by providing a service to reduce reoffending; and to ensure that all high risk offenders are supervised effectively after release

Focus on: the Fundamentals of Risk Practice training

The Fundamentals of Risk Practice is a training course that was developed by the RMA to support risk assessment and management practice with individuals who present a risk of serious harm.

The training was designed to provide a grounding in the principles and process that should be evident when assessing and managing risk of serious harm. For practitioners, the training aims to equip them with skills and confidence in applying these principles in practice.

Working in conjunction with Social Work Scotland, Police Scotland and the Scottish Government a range of training courses were planned for Criminal Justice Social Work and Police offender management staff during 2015-2016.

The course content is consistent with the Standards and Guidelines for Risk Assessment and Management published by the RMA and is a key part of implementation of the FRAME policy developed by the RMA and criminal justice agencies in Scotland. The training also sought to develop participant's understanding of the risk assessment and management templates published within the MAPPA guidance in July 2015. This consistent approach has been a key objective of the FRAME policy.

The training provision includes the following:

- A 3 day course for criminal justice social workers
- A two day course for offender management police officers
- An awareness day for MAPPA level 2 and 3 chairs

Between August 2015 and March 2016, eleven courses were delivered to 206 Criminal Justice Social work staff. By June 2016, over 300 will have been trained meaning that our work has been delivered in full and on schedule.

Pre and post course evaluations confirmed a high degree of knowledge prior to the course and a learning gain and a multi-level evaluation of this training has also commenced. As part of this, the RMA are working with Social Work Scotland on the development of a supported self-evaluation model.

Training for 220 Police offender management officers is being provided jointly by the RMA and a Police Scotland trainer. This commenced in January 2016 and will be continued until June 2016, with initial feedback also encouraging:

"Instructors listened to our experiences and put the learning into the context of our day to day work."

"The best course I have been on well worth it."

Four MAPPA chairs awareness days were held in March 2016. Some of these chairs have already experienced their staff transferring the skills and method to practice following their training:

99% – Equipped to build an RMP
– Enhanced knowledge
– Recommend the course

The RMA staff who have delivered this training would like to thank all those who have participated in the training. It has been a pleasure to witness the level of experience and knowledge of so many criminal justice social work and police offender management officers.

"Staff who have used the new document set are clearer and better understand the elements of risk assessment. Their thoughts around risk management are better marshalled and they are able to communicate their opinion with confidence."

Continued over

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).

An essential function of the RMA is the administration and oversight of the processes that support the OLR sentence. Through our efforts we want to continuously develop and enhance our processes and provide comprehensive support to stakeholders. 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 this aim has five elements: administer the accreditation process and evaluate performance to ensure assessors have regard to our standards and guidelines and comply with the code of conduct; support and guide lead authorities in the preparation of risk management plans; ensure risk management plans comply with legislation and have regard to our standards and guidelines; evaluate the implementation of approved risk management plans; and collate and analyse data on the application of the order for lifelong restriction to inform policy and practice.

Notable activity in 2015-16 supporting Strategic Aim 2:

- We delivered our functions of accreditation and approval within statutory timescales, upholding the standards that we have set:
 - Accreditation was awarded to 8 persons who demonstrated the necessary competencies of an assessor.
 - 34 Risk Management Plans were approved: 28 plans were evaluated by RMA staff and considered by the RMA Risk Management Plan Committee to meet the criteria for approval; in 6 cases guidance was issued to the Lead Authority in order to bring the plan up to the required standard. This gives assurance that those who are subject to an OLR are managed appropriately, proportionately and consistently.
 - 67 Annual Implementation Reports were reviewed to ensure that the Lead Authority is implementing the plan as intended. This gives assurance that the necessary measures to protect the public and the individual's rights are delivered.



Key Fact
Partnership working with the Scottish Prison Service to field test new reporting processes

- We collated and analysed data to inform policy, practice and processes:
 - An analysis was undertaken of the guidance provided to Lead Authorities to inform our learning and future revisions to Standards and Guidelines.
 - An extensive exercise was undertaken to collate and analyse a wide range of information from risk assessment reports prepared for the High Court in order to inform the Board and Scottish Ministers about the application of the OLR. The learning from this will be disseminated in 2016/17.
- We reviewed and revised key processes and practices to improve effectiveness and efficiency:

Annual Implementation Reporting

- We explored, identified and developed ways to reduce the resource demands (on the Scottish Prison Service and the RMA) of preparing and evaluating annual implementation reports.
- We developed a progress report that can be routinely completed on an on-going basis by the Lead Authority⁹, and will provide the necessary evidence to the RMA for it to determine whether the plan has been implemented, thus reducing the need for a further report while encouraging good practice of observing and responding to change.

- We consulted with SPS staff to inform this approach and tested the development with the assistance of HMP Glenochil and HMP Edinburgh. This has been successfully concluded and approved by the RMA Board for implementation in June 2016.

Risk Management Plan Approval

- With the successful completion of the above endeavour, we initiated a similar review of the practice and processes associated with our support to Lead Authorities in preparing plans and the approval of plans. As with annual implementation reports, it is essential that we establish robust and defensible processes and continually find ways to improve their efficiency and effectiveness.

Risk Assessment Reports

- A review of the accreditation process, competencies and criteria for accredited assessor applications has been substantially progressed this year and will be completed in 2016/17.
- To further support the accreditation of persons and the provision of risk assessment reports to the High Court, we have revised the Standards and Guidelines for Risk Assessment to incorporate new research and learning from practice. This resource will be circulated for consultation and published in 2016/17.

Continued over

9. The LS/CMI is a comprehensive general offending risk/ need assessment and case management planning method. The LS/CMI is used in Scotland to aid decisions on the level and focus of intervention with people aged 16+

Strategic Aim 3

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

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 this aim involves four elements: Continually improve decision making processes to ensure good governance, transparency and fairness; Manage resources effectively and promote a learning culture in all that we do; Develop our communication systems to enhance dissemination of our work and collaboration with stakeholders; and Continually develop and enhance our performance management systems.

Notable activity in 2015-16 supporting Strategic Aim 3:

- We held a conference for criminal justice partners to highlight the emerging evidence on the use of the LS/CMI in Scotland. This information sharing event formed part of the first evaluation of the effectiveness of the method and the tool. Full details of this event are on page 26.
- Responding to an identified need for greater knowledge on the recent advances in risk formulation, the RMA hosted a seminar on Evaluating Risk Formulation. This valuable event was developed for RMA Accredited Assessors and OLR Case Managers, and was delivered by Dr Caroline Logan, Consultant Forensic Clinical Psychologist at Greater Manchester West Mental Health NHS Foundation Trust.
- A new RMA e-newsletter was introduced to raise awareness of RMA activities and inform partners of our latest developments and initiatives. The January edition of the newsletter was issued to 800 criminal justice practitioners.



Key Fact
Seminar on Risk Formulation,
delivered by Dr Caroline Logan

- We introduced a RMA twitter account to enhance our communication with justice partners, promote effective practice and raise awareness of RMA activities.
- As part of a continued project to implement enhanced records management practices, we engaged with Scottish Government to develop and introduce an electronic records and documents management system, thus ensuring compliance with the RMA's Records Management Plan (as approved by the Keeper of the Records of Scotland). Staff training and system implementation is due to be completed by June 2016.



Key Performance Indicators

The RMA recognises the importance of continually seeking ways to improve how we deliver our functions.

To this end the RMA identified 9 key performance indicators (KPIs) to help us measure and evaluate how successful we are at managing our resources and delivering services of a high standard.

The below KPIs were agreed under the RMA Corporate Plan 2013-16.

The Corporate Plan indicated a financial budget requirement of £1,193,000.

The RMA has a core staff group of 14 permanent positions supplemented with staff on fixed term contracts to support the LS/CMI, MFMC and OLR functions.

KEY PERFORMANCE INDICATORS 2015-16		TARGET	RESULT
1	Number of Accredited Assessors required to service High Court demand	15-20	15
2	Quality Assurance Tests on sample of Risk Assessment Reports	35%	66%
3	Risk Management Plans approved in accordance with statutory timeframes	100%	100%
4	Staff evaluation of Annual Implementation Reports	6 weeks	61%
5	RMA led Improvements to Practice – Stakeholder Satisfaction Rating	80%	93%
6	Staffing Levels	15	17
7	Staff absenteeism rate	3.10%	1.72%
8	Financial Expenditure	£1,193,000	£1,100,00

The Order for Lifelong Restriction

Accreditation and Risk Management Plan approval processes

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'¹⁰, 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 process map 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 2015-16.

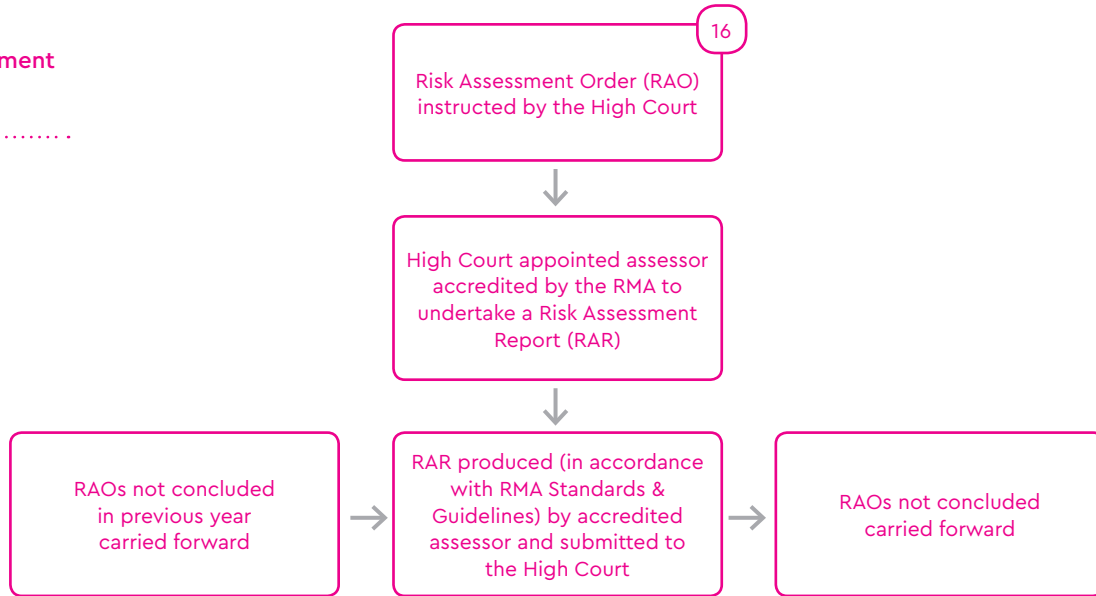
The OLR process is supported by the Risk Management Authority's Accreditation Committee. The primary function of the Accreditation Committee is to consider RMA accreditation of persons or manners of assessing and minimising risk and to assess whether they meet the RMA standard for accreditation. The 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.

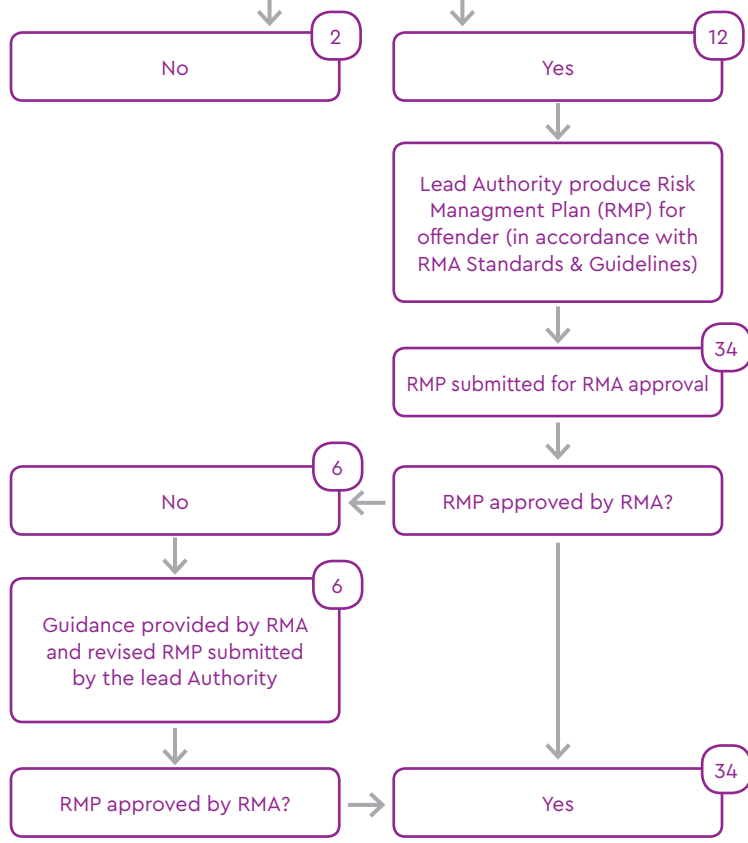
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10. Section 210e of the Criminal Justice (Scotland) Act 2003 part 1.

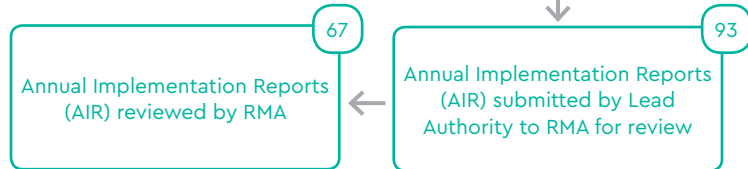
Risk Assessment Report



Risk Management Plan



Annual Implementation Report



Accreditation

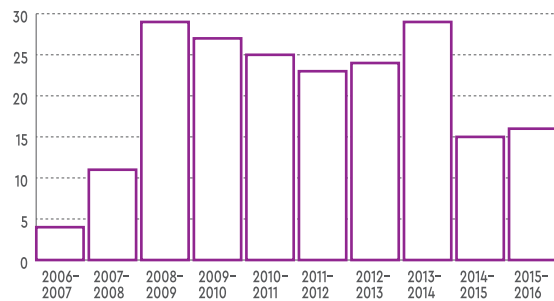
Accreditation as a risk assessor is based on a competency framework in order to apply consistent standards of assessment across different professions. The competency framework underpins the application process, which balances the required rigour with recognition that candidates for accreditation are experienced practitioners with a wide range of relevant skills. It should be noted that assessors are accredited by the RMA and commissioned directly by the High Court.

The RMA Accreditation Committee processed eight applications for accreditation during 2015-16, with all eight applications approved. During this period two assessors resigned their accreditation, therefore the cohort of assessors available to undertake Risk Assessment Reports on behalf of the High Court is fifteen.

Risk Assessment Orders

Once a RAO has been instructed, the Accredited Assessor has 90 days to complete the Risk Assessment Report (although this can be extended). As such, RAOs instructed near the financial year end are carried forward, to be concluded in the subsequent financial year.

Number of Risk Assessment Orders issued by the court in each year



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 12 OLRs recorded for 2015-16 is therefore below that initial estimate.

Continued over



Key Facts

8 Assessor applications approved

16 Risk Assessment Orders (RAOs) instructed by the High Court

12 Orders for Lifelong Restriction imposed by the High Court

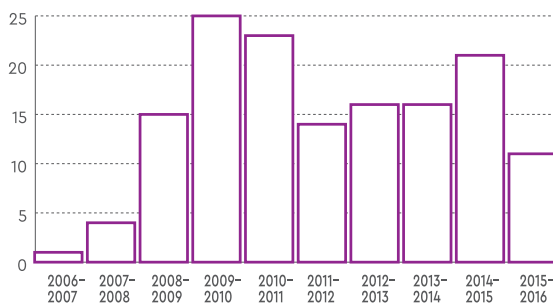
Since the inception of the legislation to 31 March 2016, the 203 Risk Assessment Orders made by the High Court have resulted in a total of 153 offenders being sentenced to an OLR. There are currently 142 active cases.

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 recent study of 151 OLR offenders conducted by the RMA which explored the OLR population in terms of descriptive information, index offences(s) and protective factors showed that:

Number of offenders sentenced to an Order for Lifelong Restriction in each year



Nature of index offence according to OLR status

	OLR (N = 151)
Violent	52 (34.4%)
Sexual	75 (49.7%)
Violent and sexual (separate offences)	21 (13.9%)
Other offences which endanger life	3 (2.0%)

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.

Risk Management Plans

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

Thereafter plans 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. 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 can change depending on the offender’s circumstances (e.g. whether in prison, hospital, or released on licence in the community). The Risk Management Plan provides an assessment of the offender’s risk, describing the measures taken to minimise that risk and how those measures are co-ordinated.

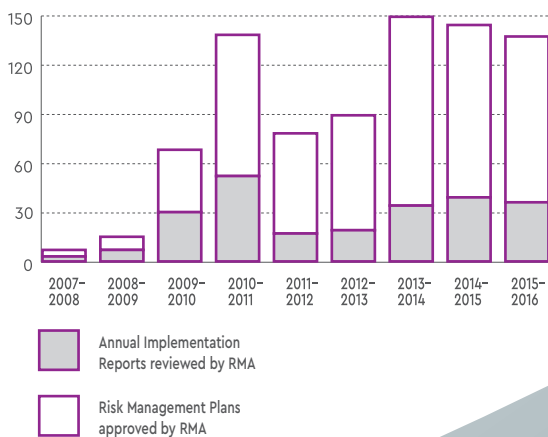
The RMA facilitates this process through its Committee structure. The primary function of the Risk Management Plan Approval Committee is to approve Risk Management Plans submitted by Lead Authorities.

This Committee also has functions to:

- Review 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, 34 Risk Management Plans (RMP) were approved and a total of 67 Annual Implementation Reports (AIR) were reviewed by the RMA. This year saw 19 initial RMPs and 15 amended RMPs submitted to the Committee for approval, amended plans being where an approved RMP was already in place that required amending following a significant change in the circumstances of the offender.

Risk Management Plan approval committee case review



Key Fact
34 Risk Management Plans approved
67 Annual Implementation Reports reviewed

Financial Summary

The annual accounts report the results of the Risk Management Authority for the year 1 April 2015 to 31 March 2016.

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 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 2016 are set out in pages 46-47. The Notes to the annual accounts on pages 48-53 form part of the annual accounts.

For the year 2015-16 the Risk Management Authority total expenditure budget amounted to £1,100,000 which was funded by Scottish Government in the form of grant-in-aid.

	FUNDING £'000	DRAWDOWN £'000
Resource DEL	985	985
MFMC	200	117
Risk Practice Course	80	91

All expenditure incurred during 2015-16 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 is regularly reviewed and as at 31 March 2015 the risk register contained 11 risk factors which were classified as 6 medium risks and 5 low risks.

There are currently 142 persons subject to an OLR: based on the expected and actual imposition of this order, the RMA anticipates that over the next 4 years this number is likely to exceed 200. The key risk facing the Risk Management Authority is ensuring the provision of adequate resources to meet the demands of the natural growth in related case work. Since 2009, in the context of a reducing budget, the RMA has adjusted working practices and transferred resources within the organisation to support this function. However, lack of additional resources will present significant risks to the RMA's capacity to meet its statutory functions to promote effective practice, and deliver continued development and implementation of quality assurance processes required to support the assessment and management of the most serious offenders.

Changes in Non-Current Assets

The Risk Management Authority acquired £16,000 in non-current assets during the year. The acquisition related primarily to the development of ICT systems to support Board Member functions.

Public Interest Reports

Environmental Issues

The Risk Management Authority operates environmental policies and procedures, which include recycling and choosing sustainable products. The Risk Management Authority also provides a cycle to work scheme for all staff and promote car sharing for attendance at events and meetings. The RMA aims to communicate through electronic media, making better use of technology to deliver information in a cost effective and environmentally friendly manner.

Social, Community and Human Rights Issues

The Risk Management Authority has a policy to support staff volunteering and voluntary activities and also has an Equal Opportunities Policy and Procedure. Wellbeing posters and newsletters are issued to staff via the Risk Management Authority's health provider. The Risk Management Authority also has a set of equality outcomes and published an equality mainstreaming report in April 2013. A review of the Risk Management Authority's achievements against the equality outcomes was conducted in 2015-16 and an equality duty progress report published on the website.

Public Services Reform Act Report

The Public Services Reform (Scotland) Act 2010 (the Act) came into force on 1 October 2010. Sections 31 to 32 of Part 3, places duties on public bodies to provide and publish information on certain expenditure and exercise of functions. The chart below provides represents the Risk Management Authority's publication of the required information.

PUBLIC SERVICES REFORM ACT REPORT	£
External Consultancy	£31,914
Public Relations	£24,153
Payments Exceeding £25,000:	£75,228
Abbeymill Business Centre – Office Rent	£40,020
Scottish Government – IT	£29,208

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 2015-16 the Risk Management Authority paid a total of 91% of invoices received within the terms of the payment policy, compared with 94% in 2014-15. The Risk Management Authority will continue to investigate service improvements in order to achieve this target in future.

As at 31 March 2016 the value of supplier payments outstanding at year end was nil. Supplier payments outstanding at 31 March 2015 was £11,916.39. All short term liabilities were classified as trade payables.

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

Freedom of Information

The Freedom of Information (Scotland) Act 2002 (FOISA) provides individuals with a right of access to all recorded information held by Scotland's public authorities. Anyone can use this right, and information can only be withheld where FOISA expressly permits it. Section 23 of FOISA also requires that all Scottish public authorities maintain a publication scheme. The RMA's publication scheme sets out the types of information that we routinely make available.

In 2015-16 the RMA received 19 requests under FOISA. Under the legislative guidelines for FOISA, public authorities have 20 working days to provide their response. Responses were provide to 18 requests within the legislative guidelines of 20 working days, and 1 request was carried forward into 2016/17.



Key Fact
 18 responses provided to Freedom of Information requests received by the RMA

External Engagement

RMA Conference 2015 – FRAME

Emerging evidence on the use of the LS/CMI in Scotland.

In October 2015 the RMA was pleased to welcome 100 delegates from across the criminal justice field to a conference on the Level of Service/Case Management Inventory (LS/CMI). The focus of this free event was what we have learned and what we can learn further about implementation practice.

The background to this event was the RMA's involvement in supporting the Scottish Government and other key stakeholders to implement a consistent method of risk/needs assessment in Scotland. Many people from many agencies have contributed to this endeavour, which involved embedding the LS/CMI in a structured professional practice process, delivered on an IT platform.

Building on further collaborations between the RMA, Local Authorities, Scottish Government Justice Analytical Services, Social Work Scotland and LS/CMI authors, the RMA were now able to present the findings from the first validation of this approach in Scotland, and the first validation of the LS/CMI out with North America.

The event reflected upon:

- Findings on the performance and application of the risk/needs assessment method in Scotland
- The FRAME elements
- The role of implementation practice and quality assurance
- How routine risk/needs assessment can inform practice, policy and service delivery with special consideration given to
 - Higher risk of serious harm
 - Informing a gender responsive approach to women who offend, are at risk of custody or serving a custodial sentence

The RMA would like to extend our gratitude to our key speaker, Dr Kevin Williams from MHS Canada, for his valuable contribution and to all those that attended for their insight and participation.



Stakeholder Surveys

The Fundamentals of Risk Practice course was developed by the RMA as a response to social work calls for training to meet the needs required for undertaking cases where a risk of serious harm had been identified.

Social work staff training

Each of the 32 local authorities nominated participants for the 11 courses held between August 2015 and March 2016 as did 15 prison establishments.

There were 213 responses to the risk practice course learning evaluations. The questionnaires asked participants to provide a job description which enabled a review of targeting participation.

Satisfaction levels from course participants

- 94% reported 'The material covered enhanced my knowledge and understanding of risk assessment and management practice'
- 93% indicated 'The course has equipped me to undertake an assessment of risk of serious harm and build a risk management plan'
- 93% said 'The skills I have learnt are relevant and easily transferable to my workplace'
- 95% were satisfied to the point that they would recommend the training to others.

MAPPA chairs training

- 80 attendees
- 98.7% reported a positive impression of the course overall
- 97.5% considered the event was well facilitated
- 95.1% indicated they came away with an increased level of knowledge

Quotes from survey

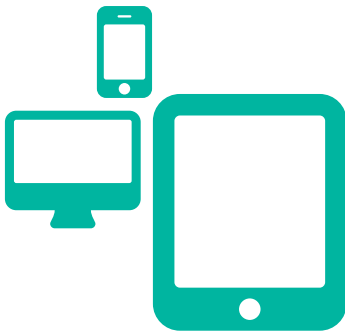
"Felt facilitators delivered excellent and demanding programme. Potential for material to be 'dry' but that was certainly not the case."

"I now feel more confident when considering my role in relation to completing RoSH assessments and this will also help many aspects of my role."

"Providing this course as a follow on from the LS/CMI would greatly enhance skills of workers and their confidence in risk assessment and management."

Website Statistics

The RMA website is a key means of communication with stakeholders and practitioners, the graphics below illustrates the level of engagement achieved.



**63,624 website
page views**



**85% of visitors from the UK
15% of visitors from the rest of the world**



**9,010 visitors to
the RMA website**



Future Strategic Developments

The RMA developed its Corporate Plan 2016 which contains a set of strategic aims that have been developed in alignment with our statutory functions.

These strategies also recognise the importance of the RMA's role and the contributions we make to National Outcomes and the Justice Strategy for Scotland.

The Corporate Plan 2016 outlines the three stages of the RMA's work to support risk practice in Scotland, whereby we Develop practice through innovation, research and standard setting; we support and Implement practice through our collaboration with criminal justice partners and we seek to Evaluate practice. The RMA Business Plan 2016-17 sets out our objectives for the forthcoming year that will contribute to the achievement of our Corporate Plan.

Key Objectives

Strategic Aim 1

- Publish updated Standards and Guidelines for Risk Assessment.
- Publish updated Standards and Guidelines for Risk Management.
- Complete review of the Accreditation Process.
- Provide Scottish Ministers with a review of the implementation of OLR legislation.
- Publish OLR profile data.

Strategic Aim 2

- Fundamentals of Risk Practice Training: Complete primary implementation.
- Fundamentals of Risk Practice Training: Develop sustainability and efficiency plan.
- LS/CMI: Evaluate application in custodial settings, and review management reporting and training provisions available across Scotland.
- LS/CMI: Review the roles and responsibilities of all agencies to determine the future support mechanisms for LS/CMI.

Strategic Aim 3

- Police practice course: Develop performance management process.
- Evaluate the effectiveness of Risk Practice training and the impact upon practice.
- Implement new process for evaluating the annual implementation of RMPs produced by Lead Authorities.

Risk to Future Strategic Developments

Due to the nature of the Order for Lifelong Restriction sentence, our workload properly increases year on year; however, our budget has decreased by 33% since 2009. One approach that we have taken to manage this has been to continually review and revise processes; the other has been to transfer resources within the RMA team from research and development activities to casework.

I will give an example of the difficult decisions that this situation entails: some years ago we began working to develop a training programme (EEPICS)¹¹ to enhance supervision practice, recognising international evidence that indicates that a structured evidence-based approach to supervision led to reductions in re-offending¹². We recognised that this could have broad applicability in the criminal justice field and enhance supervision practice generally, and also bolster it as a risk management measure. However, having developed the materials, we now do not have the internal resource to pilot, research and deliver the product. For this reason the RMA has decided not to advance the project further. Over the coming year, it is unavoidable that such decisions will be taken in relation to other areas of work.

I have recorded in this report the achievements that have been made through research and training on risk assessment and management practice, and the collaboration with partners in MAPPA to achieve consistency. Activities such as these deliver our statutory functions of 'policy and research'; moreover, they make a valuable contribution to the wider field of criminal justice. However, their delivery becomes increasingly challenging.

The RMA Board and Audit Committee have recognised this as an emerging risk to the delivery of some of our statutory functions. It is our intention in the coming months to formulate this risk to clearly define its imminence and impact(s); to share this with our sponsors in Scottish Government; and to work together to find ways to minimise it.



Yvonne Gailey
Chief Executive and Accountable Officer
22nd June 2016

11. Enhancing evidence based practice in community supervision

12. Bonta, J., Bourgon, G., Ruggie, T. Gress, C, and Gutierrez, L (2013) Taking the Leap: From Pilot Project to Wide-Scale Implementation of the Strategic Training Initiative in Community Supervision (STICS) Justice Research and Policy, Vol. 15, No. 1, 2013

Accountability Report

Corporate Governance Report

Directors' Report

Board Members

The role of the Board is to provide leadership, direction, support and guidance to ensure the Risk Management Authority delivers and is committed to delivering its functions effectively and efficiently and in accordance with the aims, policies and priorities of the Scottish Ministers. It has corporate responsibility, under the leadership of the convener, for the following:

- taking forward the strategic aims and objectives for the body agreed by the Scottish Ministers;
- determining the steps needed to deal with changes which are likely to impact on the strategic aims and objectives or on the attainability of its operational targets;
- promoting the efficient, economic and effective use of staff and other resources;
- ensuring that effective arrangements are in place to provide assurance on risk management, governance and internal control;
- taking into account relevant guidance issued by the Scottish Ministers;
- ensuring the board receives and reviews regular financial information concerning the management and performance and is informed in a timely manner about any concerns regarding activities;
- appointing, with the approval of the Scottish Ministers, the Chief Executive and, in consultation with the Scottish Government, set appropriate performance objectives and remuneration terms linked to these objectives which give due weight to the proper management and use of resources and the delivery of outcomes;
- demonstrating high standards of corporate governance at all times, including openness and transparency in its decision making;
- functions as laid out in The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006; and
- functions as laid out in the Criminal Justice (Scotland) Act 2003.

During 2015-16, the Board of the Risk Management Authority comprised of the following members:

Mr Peter Johnston (Convener)

Professor Hazel Kemshall

Dr Anne MacDonald

Mr Emcee Chekwes

Mr Stephen Swan

Mr Chris Hawkes

Ms Elizabeth Carmichael

Dr Katharine Russell (from Aug 2015)

Dr Joanne Wood (To July 2015)

To support informed decision and policy making the Board established the following committees:

i) **Accreditation Committee** – to take decisions on the accreditation of assessors and manners of assessment;

ii) **Appeals Committee** – to consider and decide any appeals lodged against a decision by the Accreditation Committee;

iii) **Risk Management Plan Approval Committee** – to take decisions and approve Risk Management Plans submitted by lead authorities;

iv) **Research & Training Committee** – to provide the strategic direction for the RMA's research and training programme;

v) **Audit Committee** – to support the Accountable Officer responsible for issues of risk, control and governance and associated assurance through a process of constructive challenge; and

vi) **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.

Directors

The Risk Management Authority has an executive management team to support the Board, this team includes:

i) Chief Executive

The Chief Executive, Ms Yvonne Gailey was appointed on 27 May 2009 and is the Accountable Officer of the RMA. Responsibilities as Accountable Officer, include 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 Framework Document with the Scottish Government and the Statement of Accountable Officer's Responsibilities within the accounts.

ii) Director of Business Performance

The Director of Business Performance, Mr Paul Keoghan was appointed on 26 January 2009. In supporting governance arrangements the Director of Business Performance oversees all corporate service functions including human resources, finance, policy development, communications and information technology.

Register of Interests

All devolved public bodies have a duty to set up, maintain and make available for public inspection a register of Board member interests. The Risk Management Authority's Register of Members' interests is available for inspection on its corporate website at: www.rmascotland.gov.uk/about-the-rma/governance-and-corporate-info/rma-board-and-committees/

Personal Data Incidents

Under the requirement to report on personal data related incidents which have been formally reported to the information commissioner's office, the Risk Management Authority reports that there were no personal data incidents reported in the financial period.

Pensions

All staff of the Risk Management Authority are eligible to become members of the civil service pension arrangements. Further details about the Civil Service Pension arrangements can be found at the website www.civilservice.gov.uk/pensions

Statement of 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.

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.

In my opinion, the annual reports and accounts are fair, balanced and understandable and I accept responsibility for the annual report and accounts and the judgements required for determining that it is fair, balanced and understandable.

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 Sponsorship Framework.

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 Sponsorship Framework 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 Corporate Risk Management Strategy.

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 2015-16 the Board convened on six occasions, and on each occasion the meetings were quorate and a set of minutes produced to record all agreed actions and decisions. At each meeting Members were requested to submit 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.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.

Continued over

Governance Statement *CONTINUED*

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.

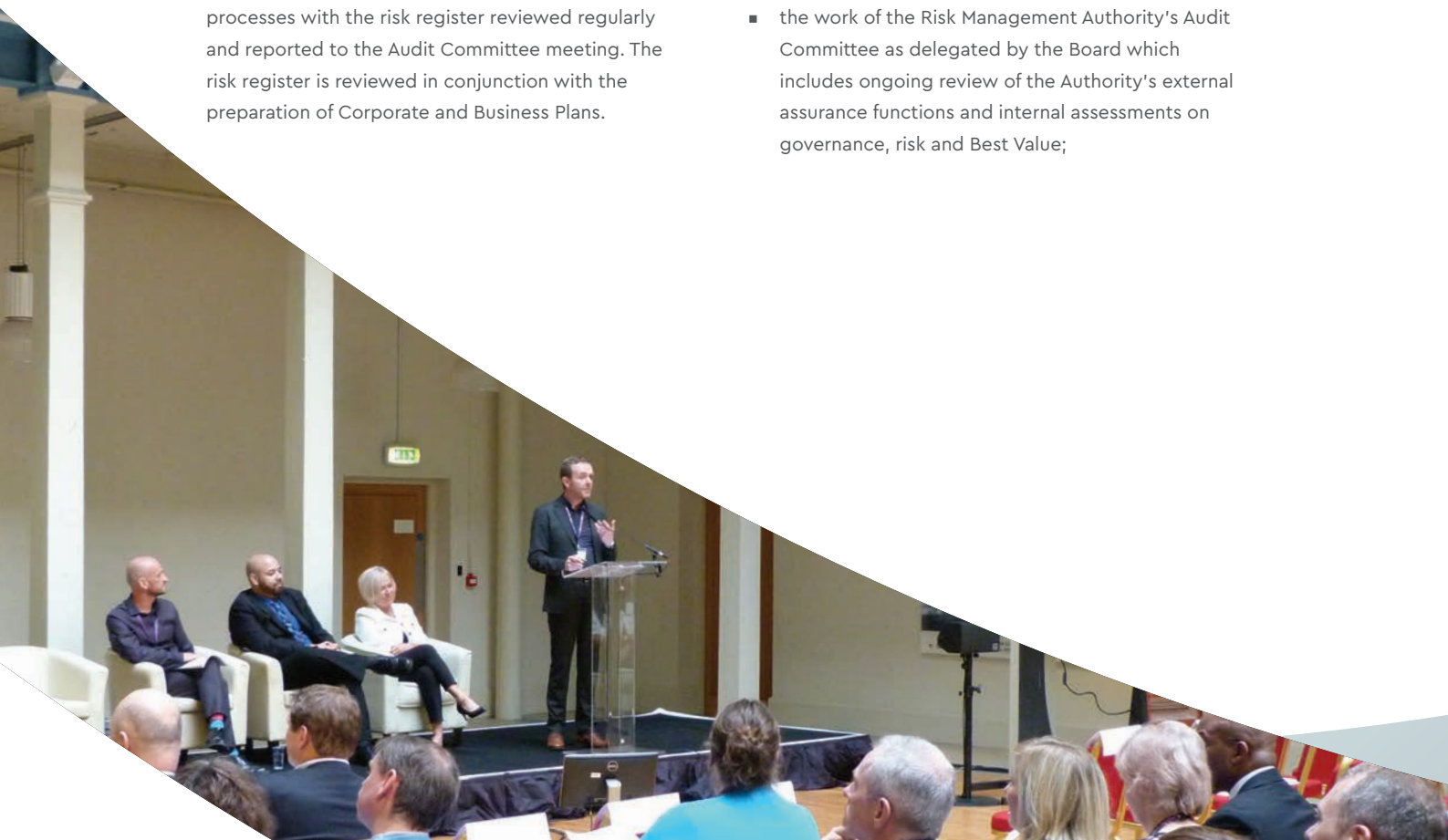
The Risk Management Authority has a documented risk management strategy which specifies the roles of the Board, the Audit Committee and the Chief Executive and details the process of risk identification in relation to the Risk Management Authority's objectives. The strategy also details the process of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

Risk Management is embedded into corporate processes with the risk register reviewed regularly and reported to the 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.
- the work of the Committees charged with responsibility for the governance and performance in the areas encompassing Risk Management Plan Approval, Research & Training and Accreditation.
- certificates of assurance provided by the Director of Business Performance and Head of Internal Audit to support my review of the system of internal control;
- committee meetings;
- annual committee performance reports;
- regular meetings with staff on business plan objectives and risk identification;
- a system of key performance and risk indicators;
- a risk register for the Authority.

My review and assessment has been informed directly by the following key processes which have operated continuously and effectively during the course of 2015-16:

- 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;

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 2015-16.

Remuneration and Staff Report

Board Member Remuneration Policy

The Convener and Board Members are public appointments made by the Scottish Ministers under the procedures set by the Office of the Commissioner for 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. Salaries are reviewed annually and pay awards are controlled by the Scottish Government Senior Salary Review Board. The Convener and Board Member appointments are not pensionable.

The Risk Management Authority has in place a Remuneration Committee, current membership of the Committee is Mr Peter Johnston, Mr Stephen Swan and Mr Chris Hawkes. 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 staff and the senior executives (directors) which include the Chief Executive and Director of Business Performance.

Chief Executive Remuneration Policy

The Board, in conjunction with the Scottish Government, agree a salary range for the Chief Executive. The Chief Executive, Ms Yvonne Gailey, assumed post on the 27 May 2009 and is employed on a permanent contract with a requirement for a three month notice period. The Chief Executive post is pensionable under the civil service pension arrangements and there are no early termination payment clauses contained in the contract of employment.

Annual pay awards are dependent upon performance and the parameters of pay awards controlled by the Scottish Government's Public Sector Pay Policy for Senior Appointments. The Chief Executive Salary is reviewed annually by the Remuneration Committee with all changes to salaries or benefits requiring approval of the Scottish Ministers. The Chief Executive's performance is assessed by the Convener of the Risk Management Authority using a system of annual appraisal which will assess performance against business plan and corporate plan objectives.

In the reporting year the Chief Executive's pay award was governed by a two year pay policy covering 2014-2016, the key terms of the policy included:

- i) Cost of increase in basic pay limited to 1% each year
- ii) Cost of payscale progression, where applicable, limited to 1.5% each year
- iii) A commitment to no compulsory
- iv) Payments under performance related pay suspended

Director of Business Performance Remuneration Policy

The remuneration of the Director of Business Performance is set by the Board. The Board agree salary ranges for the Director and annual pay awards are dependent upon performance.

The Director of Business Performance, Mr Paul Keoghan, assumed post on 26 January 2009 and is employed on a permanent appointment with a three month notice period. The Director post is pensionable under the civil service pension arrangements and there are no early termination payment clauses contained in the contract of employment.

The parameters for annual pay awards are controlled by the Scottish Government's Public Sector Pay Policy for Staff Pay Remits. The Director's is reviewed annually by the Remuneration Committee with all changes to salaries or benefits requiring approval of the Scottish Ministers. The Director's performance is assessed by the Chief Executive using a system of annual appraisal which will assess performance against business plan and corporate plan objectives.

In the reporting year the Director's pay award was governed by a two year pay policy covering 2014-2016, the key terms of the policy included:

- i) Cost of increase in basic pay limited to 1% each year
- ii) Payscale progression, where applicable, can be awarded
- iii) A commitment to no compulsory
- iv) Payments under performance related pay suspended

Remuneration (Audited)

i) Board Member Remuneration

'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.

Board Member Remuneration	2015-16 £'000	2014-15 £'000
Mr Peter Johnston, Convener	5 - 10	5 - 10
Professor Hazel Kemshall	5 - 10	5 - 10
Dr Anne MacDonald	5 - 10	5 - 10
Mr Emcee Chekwes	5 - 10	5 - 10
Mr Stephen Swan	5 - 10	5 - 10
Mr Chris Hawkes	5 - 10	5 - 10
Ms Elizabeth Carmichael	5 - 10	5 - 10
Dr Katharine Russell (from 1 Aug 2015)	1 - 5	-
Dr Joanne Wood (until 31 July 2015)	1 - 5	5 - 10

Continued over

Remuneration and Staff Report *CONTINUED*

ii) Performance Related Pay

Performance pay or bonuses are disclosed separately from salaries and relate to the year in which they become payable.

Performance Related Pay	2015-16	2014-15
Ms Yvonne Gailey, Chief Executive	-	-
Mr Paul Keoghan, Director	-	-

iii) Directors' Remuneration and Accrued Pension Benefits

Board Member appointments are not pensionable. The table below show the value of accrued pension benefits and remuneration for Directors.

Directors' Remuneration and Accrued Pension Benefits	Basic Salary Band £'000	Benefit In Kind £100	Accrued Pension Benefits £'000	Total £'000
Ms Yvonne Gailey, Chief Executive 2015-2016	65-70	-	21,000	90-95
Ms Yvonne Gailey, Chief Executive 2014-2015	65-70	-	16,000	85-90
Mr Paul Keoghan, Director 2015-16	60-65	-	24,000	85-90
Mr Paul Keoghan, Director 2014-15	60-65	-	23,000	85-90

iv) Compensation on early retirement of for loss of office

The value of payments made under compensation on early retirement of for loss of office for the reporting period was nil.

v) Payments to past directors

The value of payments made to past directors in the reporting period was nil.

vi) Directors' Pensions Entitlements

Board Member appointments are not pensionable.

Directors' pension benefits are provided through the Civil Service Pension arrangements. The Schemes are unfunded with the cost of benefits met by monies voted by Parliament each year. Pensions payable are increased annually in line with changes in the Retail Prices Index. Contribution rates payable by the employee are dependent upon annual pensionable earnings. For the reporting period 2015-16 the contribution rates payable by the Directors was 7.35%.

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.

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.

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

Continued over

Remuneration and Staff Report *CONTINUED*

The table below details the pension entitlements for each Director.

Pension Entitlements	Accrued pension and related lump sum as at 31/3/16 £5,000 Bands	Real increase in pension and related lump sum £2,500 Bands	CETV at 31/3/16 £'000	CETV at 31/3/15 £'000	Real increase in CETV £'000
Ms Yvonne Gailey	10 - 15	0 - 2,500	230	192	21
Mr Paul Keoghan	5 - 10	0 - 2,500	121	96	8

Staff Report

This report covers all staff employed by the Risk Management Authority, including directors. Over the reporting period the Risk Management Authority employed a total of 18.3 fte staff costing £854,000.

Key information in relation to staff includes:

i) Staff Costs

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

Staff Costs	2015-16 £'000	2014-15 £'000
Wages and Salaries	661	598
Social Security Costs	53	49
Pension Costs	140	119
Total	854	766

ii) Staff Numbers

Fixed term staff account for 30% of the total workforce.

The chart opposite provides analysis of staff by engagement type.

Staff Number and Costs	
Number of Permanent Staff	12.8
Number of Fixed Term Staff	5.5
Total Number of Staff Employed	18.3

iii) Staff Composition

The chart below provides analysis of the number of persons of each sex who were employed as directors or staff during the reporting period.

Staff Composition	Male		Female	
	Actual	FTE	Actual	FTE
Directors	1	1.0	1	1.0
Staff	8	6.8	12	9.5
Total	9	7.8	13	10.5

iv) Fair Pay Disclosure

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 2015-16 was £65k – £70k (2014-15, £65k –£70k). This was 2.2 times (2014-15, 2.3) the median remuneration of the workforce, which was £31,896 (2014-15, £29,091).

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.

The table below presents fair pay disclosure information for current and prior years.

Top to Median Staff Pay Multiples	2015-16	2014-15
Band of Highest Paid Director's Total Remuneration (£'000)	65-70	65-70
Median Total Remuneration (£'s)	31,896	29,091
Ratio (%)	2.2	2.3
Range of Staff Remuneration (£'000)	£13-£70	£13-£70

Continued over

Remuneration and Staff Report *CONTINUED*

v) Sickness Absence Data

During the year the Risk Management Authority the rate of absence reduced.

Sickness Absence Data	2015-16	2014-15
Total Number of days absence due to sickness	84	98
Absence Rate (%)	1.7	2.2

vi) Number of Senior Civil Service Equivalents by Band

The chart below provides the number of senior civil service equivalent staff employed by the Risk Management Authority.

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

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.

Parliamentary Accountability Report

Auditor's Remuneration

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. External audit services for the 2015/16 accounts were at a cost of £6,500 (£6,500 in 2014/15) and no additional payments were made to the auditor for non-audit work.

Political Expenditure

The Risk Management Authority made no political donations or incurred no political expenditure in the financial year.

Gifts and Charitable Donations

The Risk Management Authority made no gifts or charitable donations in the financial year.

Losses and Special Payments

The Risk Management Authority incurred no losses or made special payments in the financial year.

Events subsequent to the date of the Statement of Financial Position

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



Yvonne Gailey
Chief Executive and Accountable Officer
22nd June 2016

Independent Auditor's Report

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 Risk Management Authority for the year ended 31 March 2016 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 2015/16 Government Financial Reporting Manual (the 2015/16 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 Accountable Officer and auditor

As explained more fully in the Statement of 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, and 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 and disclosures 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 and Accounts to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements, irregularities, 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 2016 and of its net expenditure 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 2015/16 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.

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 and Staff 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 Performance 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 and Staff 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 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
4th Floor South Suite
The Athenaeum Building
8 Nelson Mandela Place
Glasgow G2 1BT

22nd June 2016

Statement of Comprehensive Net Expenditure

For the year ended 31 March 2016

	Notes	2015-16 £'000	2014-15 £'000
Expenditure			
Staff costs	2	906	816
Other admin costs	3	262	225
		1,168	1,041
Income			
Income from activities	4	(68)	(15)
Net operating costs		1,100	1,026

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

Statement of Financial Position

For the year ended 31 March 2016

	Notes	2015-16 £'000	2014-15 £'000
Non-current assets			
Property, plant and equipment	5	42	53
Intangible assets	6	-	-
Total non-current assets		42	53
Current Assets			
Trade and other receivables	8	13	10
Cash and cash equivalents	9	610	560
Total current assets		623	570
Total assets		665	623
Current liabilities			
Trade and other liabilities	10	191	231
Total current liabilities		191	231
Total assets less current liabilities		474	392
Non-current liabilities			
Provisions	11	60	60
Total non-current liabilities		60	60
Total liabilities		251	291
Net Assets		414	332
Taxpayers Equity			
General Fund – Unallocated		414	267
General Fund – Allocated EEPICS Project		-	65
Deferred Government Grant		-	-
Total taxpayers equity	SOCTE	414	332

The annual accounts report the results of the Risk Management Authority for the year 1 April 2015 to 31 March 2016. 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 authorises these financial statements for issue on the date noted opposite.

Signed on behalf of the Authority



Yvonne Gailey
Chief Executive and Accountable Officer
22nd June 2016

Statement of Cash Flows

For the year ended 31 March 2016

Cash flows from operating activities

Net operating cost

Adjustments for non-cash transactions

Depreciation

Movements in working capital

(Increase)/decrease in trade and other receivables

Increase/(decrease) in trade and other payables

Net cash outflow from operating activities

Cash flows from investing activities

Purchase of Property, Plant and Equipment

Net cash outflow from investing activities

Cash flows from financing activities

Scottish Government Grant

Net cash flow from financing

Net increase/(decrease) in cash and cash equivalents

Cash and cash equivalents at beginning of period

Cash and cash equivalents at end of period

Net change in cash and cash equivalents

Notes	2015-16 £'000	2014-15 £'000
SoCNE	(1,100)	(1,026)
5,6	27	24
8	(3)	10
10	(40)	(102)
	(1,116)	(1,094)
5,6	(16)	(26)
	(16)	(26)
SOCTE	1,182	1,121
	1,182	1,121
	50	1
9	560	559
9	610	560
	50	1

Statement of Changes in Taxpayers' Equity

For the year ended 31 March 2016

General Fund

Balance at 1 April

Net operating cost for the year

Net funding

Balance at 31 March

Notes	2015-16 £'000	2014-15 £'000
	332	237
	(1,100)	(1,026)
	1,182	1,121
	414	332

Notes to the Accounts

For the year ended 31 March 2016

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 the current value of plant and machinery.

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

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

(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.

(d) Receivables

All material amounts outstanding at 31 March 2016 have been brought into account irrespective of when actual payments were made.

(e) Payables

All material amounts outstanding at 31 March 2016 have been brought into account irrespective of when actual payments were made.

(f) Income and Government Grants

Most of the 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**Administrative staff**

Wages and salaries

Social Security costs

Pension costs

Total administrative Staff**Total Staff Costs****Average number of employees during the year:**

Authority Members

Staff

	2015-16 £'000	2014-15 £'000
Salary	52	50
Social Security Costs	-	-
Total Authority Members	52	50
Administrative staff		
Wages and salaries	661	598
Social Security costs	53	49
Pension costs	140	119
Total administrative Staff	854	766
Total Staff Costs	906	816
Average number of employees during the year:	No.	No.
Authority Members	8	8
Staff	19	18

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

Depreciation

Conferences

Total

	2015-16 £'000	2014-15 £'000
Accommodation	68	67
Office equipment and furniture	1	4
Research and consultancy	27	9
IT Support	36	39
Training	10	11
Legal Fees & Expenses	5	5
Supplies & Services	13	15
Stationery	4	3
Catering and Hospitality	3	1
Expenses and Travel	29	24
Other Office Costs	14	10
Internal Audit Fee	5	6
External Audit Fee	7	7
Depreciation	27	24
Conferences	13	0
Total	262	225

4. Income from Activities

Event and conference income

Seconded Salary Recharge

Reimbursement of IT costs*

Total

	2015-16 £'000	2014-15 £'000
Event and conference income	1	15
Seconded Salary Recharge	3	-
Reimbursement of IT costs*	64	-
Total	68	15

*The reimbursement of IT costs relate to the release of provisions for IT support costs provided by Scottish Government

Notes to the Accounts *CONTINUED*

5. Property, plant and equipment

	Equipment £'000	Information Technology £'000	Furniture & Fittings £'000	Total £'000
Cost				
Balance at 1 April 2015	32	54	66	152
Additions	-	12	4	16
Disposals / Write-downs	-	-	-	-
Balance at 31 March 2016	32	66	70	168
Depreciation				
Balance at 1 April 2015	32	34	33	99
Charge for year	-	15	12	27
Disposals	-	-	-	-
Balance at 31 March 2016	32	49	45	126
NBV at 31 March 2016	-	17	25	42
NBV at 31 March 2015	-	20	33	53
Analysis of asset financing				
Owned	-	17	25	42
Finance leased	-	-	-	-
NBV at 31 March 2016	-	17	25	42

6. Other Administrative Costs

	Software £'000	Total £'000
Cost		
Balance at 1 April 2015	106	106
Additions	-	-
Disposals	-	-
Balance at 31 March 2016	106	106
Depreciation		
Balance at 1 April 2015	106	106
Charge for year	-	-
Disposals	-	-
Balance at 31 March 2016	106	106
NBV at 31 March 2016	-	-
NBV at 31 March 2015	-	-

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 and other receivables

Amounts falling due within one year

Other receivables – Central Government	-	2
Other receivables – External	12	8
Other receivables – Other Government Bodies	1	-
Total receivable within 1 year	13	10

2015-16 £'000	2014-15 £'000
-	2
12	8
1	-
13	10

9. Cash and cash equivalents

Balance at 1 April	560	559
Net change in cash and cash equivalent balances	50	1
Balance at 31 March	610	560

2015-16 £'000	2014-15 £'000
560	559
50	1
610	560

The following balances at 31 March were held at		
Government Banking Service and cash in hand	606	556
Corporate cash account	4	4
Balance at 31 March	610	560

10. Trade and other payables

Amounts falling due within one year

Accruals and deferred income – Central Government	148	147
Accruals and deferred income – External	24	68
Accruals and deferred income – Other Government Bodies	19	16
Total due within one year	191	231

2015-16 £'000	2014-15 £'000
148	147
24	68
19	16
191	231

Notes to the Accounts *CONTINUED*

11. Provisions for liabilities and charges

The lease on the premises at St James' House expired 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. Scottish Government is currently in discussions with the landlord regarding the cost of dilapidations, the Risk Management Authority's liability is restricted to £60,000.

	2015-16 £'000	2014-15 £'000
Balance at 1 April	60	60
Provided in year	-	-
Balance at 31 March	60	60

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. None of the Authority members or key managerial staff has undertaken any material transactions with the Risk Management Authority during the year.

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 corresponding provision for this amount remains in these financial statements. The provision will be realised upon conclusion of negotiations between Scottish Government and the landlord over the value of dilapidations.

14. Commitments under leases

The total value of commitments under operating leases is £122,760.

Obligations under operating leases comprise

Buildings

Not later than one year
 Later than one year and not later than five years
 Later than five years

	31 MAR 16	31 MAR 15
	£'000	£'000
	46	46
	77	123
	-	-

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

15. Segment Reporting

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



RISK MANAGEMENT AUTHORITY

DIRECTION BY THE SCOTTISH MINISTERS

1. The Scottish Ministers, in pursuance of Section 12(3) of the Criminal Justice (Scotland) Act 2003, hereby give the following direction in respect of the duty set out in Section 13 of the Criminal Justice (Scotland) Act 2003.
2. The statement of accounts for the financial year ended 31 March 2006, and subsequent years, shall comply with the accounting principles and disclosure requirements of the edition of the Government Financial Reporting Manual (FRM) 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 black ink, appearing to read 'Jane Richardson', written in a cursive style.

A member of the staff of the Scottish Ministers

Dated 10 February 2006

Appendix A

The RMA is a Non Departmental Public Body, established in 2005 under the Criminal Justice (Scotland) Act 2003.

The RMA is sponsored by the Parole Unit of the Justice Directorate and operates to an agreed structure known as a Sponsorship Framework. It sets out:

- the RMA's overall aims, objectives and targets in support of the Scottish Ministers' wider strategic aims;
- the rules and guidelines relevant to the exercise of the RMA's functions;
- the conditions under which any public funds are paid to the RMA, and
- how the RMA is to be held to account for its performance.

RMA Statutory Functions

The Criminal Justice (Scotland) Act 2003

Policy and Research

Section 4(a) the RMA is to

- compile and keep under review information about the provision of services in Scotland;
- compile and keep under review research and development;
- promote effective practice; and
- give such advice and make such recommendations to the Scottish Ministers as it considers appropriate.

Section 4(b). The RMA may:

- carry out, commission or co-ordinate research and publish the results of such research; and
- undertake pilot schemes for the purposes of developing and improving methods.

Guidelines and Standards

Section 5. The RMA is to:

- prepare and issue guidelines as to the assessment and minimisation of risk; and
- set and publish standards according to which measures taken in respect of the assessment and minimisation of risk are to be judged.

Risk Management Plans

Section 6 (5).

- The RMA is to specify and publish the form of risk management plans.

Section 6(6).

- The RMA may issue guidance (either generally or in a particular case) as to the preparation, implementation or review of any risk management plan.

Section 8(4).

- To approve or reject risk management plans.

Section 9.

- To consider the implementation of risk management plans by the Lead Authority.
- The Lead Authority is to report annually as to the implementation of the risk management plan.

Accreditation, Education and Training

Section 11(1).

- The RMA has a duty to accredit any manner of assessing and minimising risk and accreditation of any person having functions in assessment and minimisation of risk.

Section 11 (2b).

- The RMA may provide, or secure the provision of, education and training in relation to the assessment and minimisation of risk for any person having functions in that regard.

Glossary

ACRONYM	FULL TERM	DEFINITION
CJSW	Criminal Justice Social Work	Criminal Justice Services whose purpose is to achieve a reduction in re-offending, increase social inclusion of former offenders and support victims of crime.
FRAME	Framework for Risk Assessment, Management and Evaluation	RMA-developed consistent, shared framework that promotes risk assessment and management practice that is proportionate to risk, legitimate to role, appropriate to the task in hand, and is communicated meaningfully.
LS/CMI	Level of Service / Case Management Inventory	Risk Assessment and Case Management system.
MAPP	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 a minimum period in secure custody.
RATED	Risk Assessment Tools Evaluation Directory	RMA-developed audit of risk assessment tools.
RMP	Risk Management Plan	Required by law for an offender subject to an OLR, approved by the RMA. A Risk Management Plan is prepared by the lead authority.
S&G	Standards and Guidelines	Standards and Guidelines prepared and issued by the RMA, according to which measures taken in respect of the assessment and management of risk are to be judged.





Risk Management Authority

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