

Risk Management Authority

Annual Report and Accounts

For the period 1 April 2006 to 31 March 2007

06-07







“Our mission is to help **protect the public** by promoting and supporting excellent professional practice in managing the **risk of serious harm** presented by violent and sexual offenders.”



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Convener's Statement

To: Mr Kenny MacAskill, MSP
Cabinet Secretary for Justice



This Annual Report and Accounts for the Risk Management Authority cover the period 01 April 2006 to 31 March 2007.

On behalf of the Board of the RMA, I would like to welcome you as Cabinet Secretary for Justice and look forward to an early meeting with you to discuss strategic priorities for the RMA over the next few years and the significant contribution which the RMA can make in the field of offender management in Scotland. The RMA looks forward to working with the new administration in Scotland and continuing the excellent developments that are being taken forward by the RMA in partnership with other criminal justice agencies in working towards a safer Scotland.

The 2006-2007 period has seen significant new developments in criminal justice in Scotland regarding offenders who may cause serious harm to others. These included the Order for Lifelong Restriction (OLR) legislation coming into force, the establishment of the eight Community Justice Authorities, the implementation of MAPPA for sex offenders and the discussions around the planned implementation of the Custodial Sentences and Weapons (Scotland) Act 2007. This report provides you with detail of the significant achievements of the RMA over the past year. Of particular importance has been the production and publication of RMA Standards and Guidelines both for Risk Assessment and for Risk Management. These Standards and Guidelines are a new and groundbreaking contribution to the world of offender management in Scotland and I would like to pay tribute to the RMA Board and staff who have worked

tremendously hard over the past year to ensure the production of such relevant and high quality work.

I would also like to pay tribute to the agencies and organisations whose help has enabled the significant achievements of the RMA. I would like to thank the Association of Directors of Social Work and Criminal Justice Social Work Managers, the Association of Chief Police Officers in Scotland and police officers involved in offender management and the Scottish Prison Service for their advice and support for the work of the RMA in the development of best practice. Thanks are also due for the advice provided to the RMA by professionals in the fields of Psychology and Psychiatry, the Scottish Executive, Members of the Judiciary, Crown Office and Scottish Court Service. In particular I would like to mention Tom Higgins who died earlier this year, Tom provided a constant source of excellent advice and assistance from the Scottish Court Service to the RMA and is sadly missed by RMA staff.

The challenging programme of work agreed for 2006-07 led to agreement for our staff numbers to rise from 10 to 12, the addition of a further Board Member and a number of temporary staff contracts offered to specialists to continue to advance our work and assist us in meeting our targets and objectives. The 2007-08 Business Plan is equally demanding as the emphasis moves into the implementation and support of the Standards and the development of best practice and training opportunities for agencies and practitioners. I am grateful to Scottish Ministers who have continued to provide

adequate budget provision to allow us to continue our work. This has ensured we can direct appropriate resources where required to promote excellent practice in risk assessment and risk management.

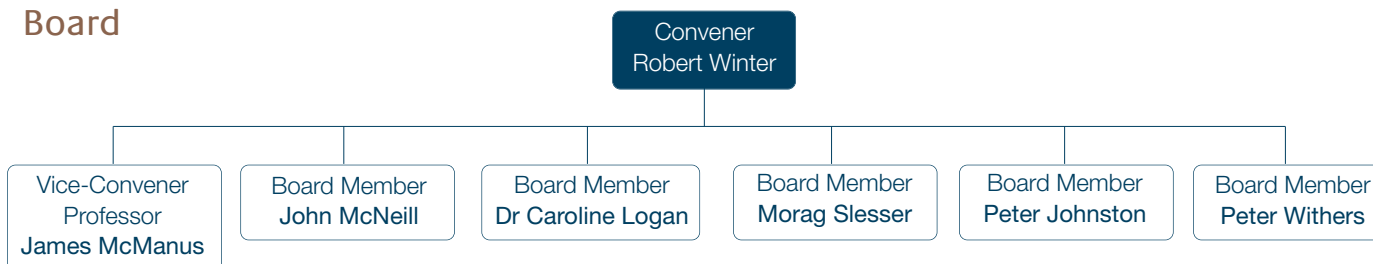
I am sure that the new reporting year will be as challenging as the last but the RMA looks forward to continuing to provide a high quality professional service which will enhance offender management and work towards a safer Scotland under the new administration.

A handwritten signature in dark ink, appearing to read 'R Winter'. The signature is written in a cursive, flowing style.

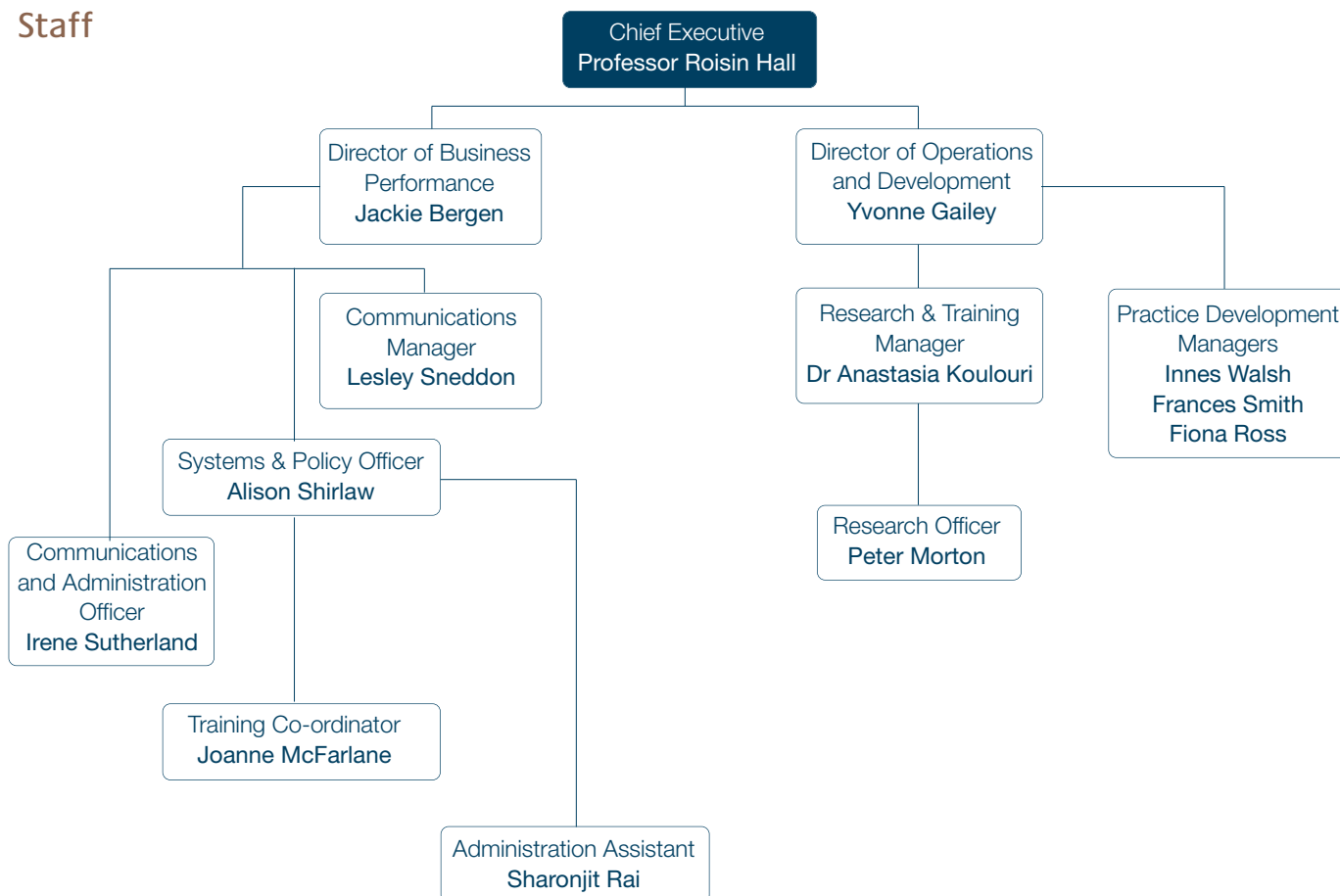
Robert Winter
Convener
12 June 2007

Organisation Chart

Board



Staff







Introduction

The Risk Management Authority (RMA) is an executive non-departmental public body established by Section 3 of the Criminal Justice (Scotland) Act 2003. The RMA was established to help protect the public by promoting and supporting excellent professional practice in managing the risk of serious harm presented by violent and sexual offenders. This was a recommendation of the Committee on Serious Violent and Sexual Offenders, chaired by Lord MacLean, which reported to Scottish Ministers in 2000. The Committee recommended that an independent body be established whose role would be to advise and assist statutory, voluntary and private sector agencies in their work to address the risk posed by serious offenders. The aims and objectives of the RMA follow from the vision and recommendations of the MacLean Committee.

The RMA is independent and impartial as well as being directly accountable to Scottish Ministers, via the Scottish Executive, for the funding provided to the RMA and for the RMA's performance in fulfilling its statutory obligations.

Risk can never be totally eliminated but the overall aim of the RMA is to exercise its functions for the purpose of ensuring the effective assessment and minimisation of risk. Work is undertaken with agencies, organisations and individuals within the Scottish criminal justice system in the effective assessment and management of serious violent and sexual offenders and ultimately work towards a safer Scotland.

The RMA was established to address the following issues:

- Public concern about the harm resulting from sexual and violent offending;

- The need for research to evidence and develop best practice in risk assessment and management;
- The special measures required for offenders considered to be at high risk of serious re-offending;
- The diversity of professional practices and competing approaches in the assessment and management of high risk offenders; and
- Problems of inter-agency communication, information flow and shared definitions and understanding.

The initial focus for the RMA during the first reporting year was to facilitate Scottish Ministers in bringing into force the Order for Lifelong Restriction (OLR), provided for in Section 210F of the Criminal Procedure (Scotland) Act 1995 (as inserted by Section 1 of the Criminal Justice (Scotland) Act 2003).

The Order for Lifelong Restriction (OLR) legislation came into force on 20 June 2006. Where the High Court considers that the risk criteria are met, a Risk Assessment Order (RAO) may be made after conviction and the resultant risk assessment report will inform the Court's judgement on whether an OLR should be imposed. Under a RAO, a Risk Assessment Report (RAR) has to be prepared for the Court by an assessor accredited by the RMA.

The functions of the RMA also include advising and making recommendations to Scottish Ministers on policy and developing practice from a robust evidence base.

During this reporting year (2006 – 2007) the RMA has built on the first year's progress and has continued to take forward work under the key objectives detailed in the business plan. These objectives were:

- To contribute to policy and good practice in the assessment and management of serious violent and sexual offenders whose liberty presents a danger to the public
- To accredit and approve practitioners and methods employed in the assessment and management of serious sexual and violent offenders
- To set guidelines, standards and guidance and to approve and monitor the effectiveness of risk management plans for serious violent and sexual offenders
- To deliver effective communications to support and promote best practice in risk assessment and management
- To deliver research and training programmes to promote the use of best practice in risk assessment and management in Scotland
- To deliver efficient and effective corporate services for the smooth running of the RMA to assist in achieving Best Value.

“Risk can never be totally eliminated but the overall aim of the RMA is to exercise its functions for the purpose of ensuring the effective assessment and minimisation of risk.”



1



Policy

The RMA believes that risk assessment and management are fundamental to all areas of offender management where there is potential for serious harm. Risk management is an underpinning concept for the National Advisory Body on Offender Management, for Multi Agency Public Protection Arrangements (MAPPA), the Community Justice Authorities (CJAs) and for the Custodial Sentences and Weapons (Scotland) Act 2007. At a time of rapid development and debate on offender management in Scotland, the RMA has endeavoured to ensure that it has the policies and procedures in place to support the work to assist criminal justice organisations and practitioners in offender risk assessment and risk management and that this work is delivered to the highest standard.

The RMA Chief Executive is a member of the National Advisory Body (NAB) on Offender Management, a body which aims to tackle Scotland's re-offending rates. It is chaired by the Minister for Justice and its members include representatives from the Convention of Scottish Local Authorities, Association of Directors of Social Work, Voluntary Sector, Victim Support Scotland, Association of Chief Police Officers in Scotland, Parole Board and a range of experts. The NAB's remit is to provide advice on the shape and direction of offender management by developing and keeping under review the national strategy for managing offenders; to advise on how best to achieve the reforms needed for better practice on offender management; and to support the work of the new Community Justice Authorities (CJAs), which were established in April 2007. The role of the CJAs is to monitor and report on the effectiveness of joint working between local authorities, Scottish Prison Service

and other partners to tackle re-offending. The RMA presented at a meeting of the Chief Officers of the eight CJAs in February 2007. This was a constructive meeting that sought to clarify and establish the RMA's link with, and support to, the CJA Chief Officers. The RMA agreed to support the CJA Chief Officers in their plans if they requested this and agreed to inform them, as well as criminal justice social work operational managers, of RMA training initiatives.

Multi-Agency Public Protection Arrangements (MAPPA) support the assessment and management of the most serious sexual and violent offenders. The aim of MAPPA is to ensure that a risk management plan is drawn up for the most serious offenders and benefits from the information, skills and resources provided by the individual agencies being co-ordinated through MAPPA. MAPPA went live in Scotland in April 2007 for sex offenders and the RMA produced a paper on risk management to be included in the MAPPA guidance. The RMA is a member of the MAPPA Implementation Group.

Sexual offenders (and violent offenders once the legislation is enacted to cover violent offenders) in Scotland will be managed more effectively through MAPPA. The work that the RMA is undertaking to provide a framework for the assessment of violence risk will support the enactment of MAPPA to include violent offenders. MAPPA has a number of systems such as the Violent

and Sex Offenders Register (ViSOR) in place to support its delivery. ViSOR is a police national intelligence database which allows the sharing of information between relevant agencies. This will provide an effective record of observation.

The RMA was called to give oral evidence to the Justice 2 Sub-Committee of the Scottish Parliament who were considering a petition raised by Margaret Ann Cummings for the notification of sex offenders following the murder of her son Mark. A report was subsequently issued and incorporated many of the RMA's views.

The RMA also advised the Justice 2 Committee on the proposals in the Custodial Sentences and Weapons (Scotland) Bill by giving both written and oral evidence. Since the passing of the legislation the RMA has been asked to participate in the implementation planning for the legislation and to advise on appropriate approaches on risk assessment.

During this reporting year, the RMA undertook an advisory role in many national policy working groups, advising on risk assessment and management. These included:

- National Advisory Body for Offender Management (NAB) and its subgroup the Performance Improvement Strategy Group
- Care Programme Approach Working Group. The Care Programme Approach

“Sound assessment and management planning are an integral part of risk management planning.”

was developed to help manage the risks posed by complex cases involving people with severe and enduring mental illness. The role of the Care Programme Approach Group was to review current practice across Forensic Services in Scotland and promote multi-disciplinary and multi agency working.

- Sex Offender Risk Assessment and Management Group (SORAM), a subgroup of the Tripartite Group. The Tripartite Group was established to look at ways of promoting closer partnership working, especially in relation to the transitional arrangements for prisoners moving back into the community on release from prison. SORAM is a multi-agency working group that progresses practice issues in relation to the risk assessment and risk management of sex offenders.
- ViSOR Implementation Group
- Scottish Prison Service Offenders Outcomes Group

The RMA was asked by the Scottish Executive Health Department Mental Health Division to assist in the consideration of arrangements for restricted patients following the case of Mr L and Mr M. This work was in two phases:

- Phase one: Consider current arrangements for the assessment of risk in respect of the management of restricted patients, both with regard to leave and transfer decisions and with regard to the management of patients in the community, from end to end and to make recommendations to the Scottish Executive Mental Health Division; and
- Phase two: Following any changes to the arrangements made following from the recommendations from Phase one, audit the end to end process to assess whether the arrangements in place meet the requirement to have in place a system of risk assessment that reflects the paramount importance of public safety and confidence in the arrangements and if so, accredit the end process.

The RMA reported to the Scottish Executive, with recommendations in respect of Phase one in March 2007. The Scottish Executive is considering the Phase one report to determine what is required for Phase two.

The RMA was asked by the First Minister to sit on an inquiry into the sequence of events and decisions surrounding the two abscondments of a restricted patient in May and September 2006.

The RMA was invited to participate in a “Family Protection Way Forward Think Tank” organised by the Association of Chief Police Officers in Scotland (ACPOS). The purpose of this group is to address key areas such as the effectiveness and sustainability of current policy and strategy, what changes could improve current policy and proposals for future policy and legislative change.

During this reporting year, the RMA agreed to add various projects to the business plan to assist the Scottish Executive. Further information on each project can be found in the Research and Training section of this report, a summary of the projects are detailed below:

- The development of the Level of Service Case Management Inventory (LSCMI) for use in Scotland, working with the Scottish Executive, Scottish Prison Service and Association of Directors

“Sexual offenders (and violent offenders once the legislation is enacted to cover violent offenders) in Scotland will be managed more effectively through MAPPA.”

of Social Work. LSCMI is a comprehensive risk assessment and case management system which will become a key instrument for the Scottish Prison Service and criminal justice social work services.

- The development of a framework for assessing violence risk for violent offenders which corresponds with that available for sex offenders. This framework will outline information required to develop research, policy and practice and the scope required to develop a screening tool to screen violent offenders who might pose a risk of serious harm.
- STABLE2000 and ACUTE2000 (Second stage sex offender tool). The RMA has been asked to advise and assist with the introduction of the tool to ensure it fits with risk assessment and management procedures to provide a consistent approach.
- Validation of Risk Matrix 2000 for use in Scotland.

One area of primary focus for the RMA for the forthcoming reporting year will be to work with stakeholders to drive forward policy development as a main priority and to put in place arrangements to extend the Risk Assessment and Risk Management Standards & Guidelines beyond OLR offenders to other categories of offenders.

The RMA will continue its work to assist organisations and agencies in the difficult area of offender management and ultimately working together towards a safer Scotland. Collaborative work will be progressed to research areas where further policy development may be required.



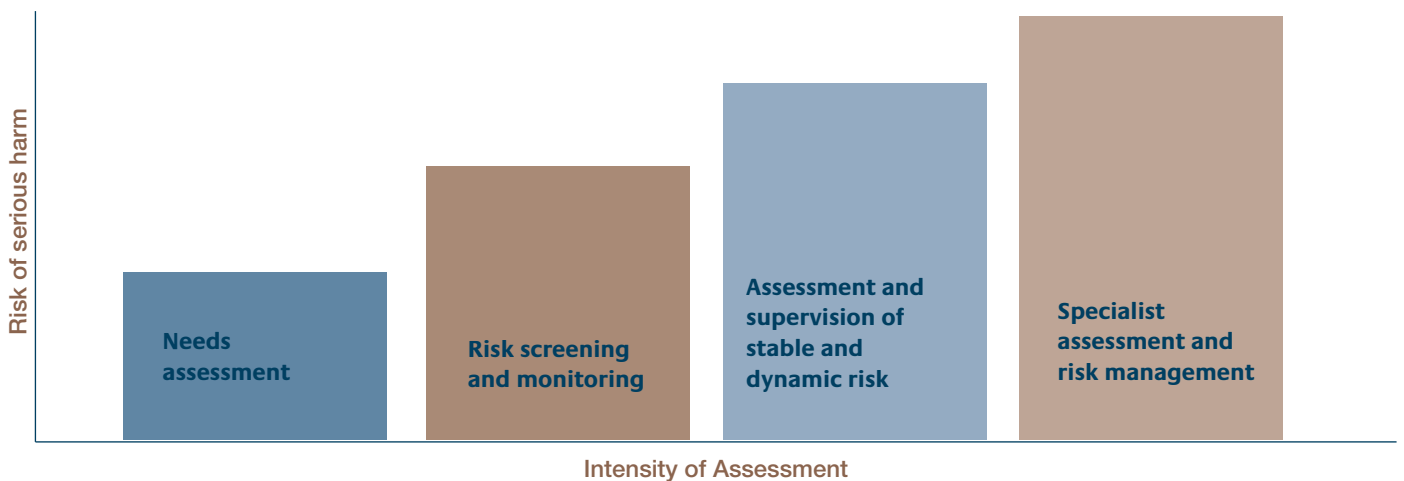
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Risk Assessment and Accreditation

Good risk assessment of the risk of harm is fundamental to ensuring the minimisation of the risk posed by serious violent and sexual offenders. Those conducting risk assessments using the *Standards and Guidelines for Risk Assessment*, including RMA accredited risk assessors, must use a structured professional judgement approach when forming their assessments. Structured professional judgement combines evidence based selection of preset and predetermined factors with professional interpretation allowing the assessor to take into account individual specific details of the case.

The RMA believes in a tiered approach of increasing intensity in risk assessment and risk management dependant on the case and the potential for serious harm. This is illustrated in the diagram below:



The RMA administers the Accreditation Scheme (made by Order of the Scottish Ministers on 29 March 2006 – SSI 190 “The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006) to accredit the assessors who carry out the risk assessment and prepare a Risk Assessment Report as directed by the High Court under a Risk Assessment Order (RAO).

The RMA published the formal process for those who wish to apply for accreditation in April 2006 and provided a series of pre-application workshops to provide more information, explaining in detail the competences required for accreditation, the application process and the practicalities of being an accredited assessor. In the spirit of continuous

improvement, the feedback gathered from the workshops and from applicants for accreditation, has resulted in changes to ensure the process is as facilitative as possible without reducing the high competency standard required of assessors.

The *Standards and Guidelines for Risk Assessment* were published in April 2006 following widespread consultation with criminal justice organisations, practitioners, policy makers and the judiciary. This document laid out the process and standards required to complete a Risk Assessment Report for the High Court under a Risk Assessment Order and included a standardised report structure for the assessment itself. The Standards are set out as a list of

mandatory steps and the guidelines incorporate advisory notes to assist an Assessor in conducting a robust assessment. This gives the assessor the flexibility to adapt to the varying circumstances of the offender whilst maintaining a degree of consistency in approach, resulting in an appropriate report for the Court as well as a high quality risk assessment to contribute to effective risk management. The *Standards and Guidelines for Risk Assessment* are used by accredited risk assessors when performing risk assessments on those offenders who are subject to a Risk Assessment Order. However, any person with a role in such risk assessments must have regard to the *Standards and Guidelines for Risk*

Assessment, including any risk assessors instructed by the defence.

The RMA put in place various measures to attract people to apply to become Accredited Assessors. This included pre-application workshops, advertising in professional journals, bulletins on criminal justice organisation websites and intranets and the distribution of leaflets explaining the role of the accredited assessor. Relevant information and the forms required for application for accreditation can be found on the RMA's website. The RMA also has an open-door policy which allows those interested in finding out more about becoming an accredited assessor to call or arrange an informal meeting. Funding for training to assist applicants in meeting the required competencies for accreditation can be made available by the RMA. Further funded training from the RMA may also be available to accredited assessors as part of their continuing professional development. During this reporting year a total of 49 people attended workshops and eight applications were received. Of the eight applications received:

- two were received from those who assisted the RMA in the pilot of the process for accreditation and both were accredited for a period of one year in April 2006, one of the applicants was accredited for a further period of three years commencing April 2007 and the renewal application for the other assessor, for a three year accreditation period is currently under consideration;

- of the remaining six applications received during the reporting year, one further applicant was accredited for a period of one year commencing November 2006, four applicants were declined accreditation and the decision in relation to one applicant was deferred to allow relevant training to be undertaken before a final decision is made on whether to award accreditation.

The main reasons for not awarding accreditation were lack of necessary experience and/or further training required. The RMA is considering how it can assist applicants further to reach the required level of expertise to be awarded accreditation.

The RMA has a statutory timescale in which to consider and make a decision on whether to award accreditation within two months of the date of receipt of a completed application. There is the ability to extend this period as long as the RMA informs the applicant of the reasons for such an extension. The average time the RMA took to consider and make a decision on applications during this reporting year was 41 days.

The number of applications received this year falls short of the expected number. However, as a learning organisation the RMA is currently carrying out a full review of the application process and this will hopefully assist in attracting further people to apply for accreditation. By the end of this reporting year there were three accredited assessors and it is vitally important that more assessors are accredited to ensure that there is an adequate number of assessors in place to deliver the required service for the Court.

The RMA is grateful to the assessors for their assistance in developing the processes, their input to the consultation and, of course, their work for the Court. Each assessor has had at least one Risk Assessment Report to complete for the Court during this year (the table on the next page provides some detail on the RAOs made this year).

The accreditation register required under The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006 is available to the Court through the RMA website and is kept up-to-date at all times. This register allows the Court to contact and commission an accredited assessor directly should a Risk Assessment Order be raised and contains additional information such as areas of specialism or dates when an assessor is not available to undertake a Risk Assessment Report.

“The RMA believes in a tiered approach of increasing intensity in risk assessment and risk management dependant on the case and the potential for serious harm.”

Once a Risk Assessment Order has been raised, the RMA provides a package of support to the appointed assessor which includes contact details of prisons and secure units, local authority criminal justice social work departments, etc, standard letters and information leaflets for the offender. The RMA facilitates the multi-disciplinary meetings necessary to

bring the various interested practitioners and organisations together. This enables the assessor to take account of all views when completing the report.

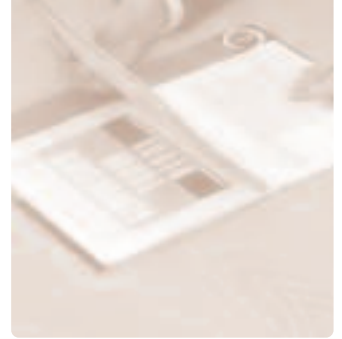
As at 31 March 2007 a total of four Risk Assessment Orders had been made. In December 2006, the High Court issued its first Order for Lifelong Restriction

following a Risk Assessment Report. A second OLR was made in April 2007. Assessors have a statutory period of 90 days in which to undertake the Risk Assessment and prepare and submit the Risk Assessment Report to the Court. There is provision in the legislation to allow the assessors to apply to the Court for an extension of the 90 day period.

	Date RAO made by the High Court (as at 31/3/07)	Charge	Court Date to consider the RAR (or request extension)	Extension requested by Assessor	Date OLR imposed
1.	03/10/2006	Attempted Murder	19/12/2006	No	19/12/2006
2.	24/10/2006	Rape	18/04/2007	Yes	18/04/2007
3.	11/01/2007	Wilful fire raising	23/05/2007	Yes	Court ruled no OLR
4.	08/02/2007	Assault and attempted rape	07/05/2004	Yes	Not yet applicable

The RMA has also published the Risk Assessment Tools Evaluation Directory (RATED) a document that provides information on the attributes of a number of familiar risk assessment tools and associated techniques. Further information on RATED can be found in the Research and Training section of this report.





Risk Management Planning

The *Standards and Guidelines for Risk Management* was scheduled for publication in May 2007. Risk management is a relatively new concept in offender management and covers a wide range of activities. Effective offender risk management must draw on best practice whilst retaining focus on the individual offender, his or her risk factors and situation. The management of offenders is rarely the responsibility of one agency alone. Therefore, risk management must be delivered in an integrated multi-disciplinary, multi-agency way to allow professionals to work together and share information. The RMA is committed to this approach and the key to effective risk management planning is thorough and consistent high-quality risk assessments. A key principle in risk management is the requirement to translate assessment findings into practice using a structured process of formulation and planning for action.

Section 6(6) of the Criminal Justice (Scotland) Act 2003 requires a Risk Management Plan to be prepared for any offender subject to an Order for Lifelong Restriction. This Risk Management Plan is prepared by the Lead Authority (ie Scottish Ministers, Hospital Managers or Local Authorities).

A number of fundamental principles underpin the ***Risk Management Authority Standards and Guidelines for Risk Management***:

- Violent and sexual offending inflicts serious harm. Members of the public as either victims or potential victims deserve to be protected from this behaviour.
- The risk of serious harm cannot be eliminated and by its very nature risk defies absolute prediction.
- However, it must be managed and can be minimised by the application of robust, appropriate and adequate risk

“A key principle in risk management is the requirement to translate assessment findings into practice using a structured process of formulation and planning for action.”

management based on formulation of the risks posed by an offender.

- Risk management practice is measured against the concept of ‘the defensible decision’.

The ***Standards and Guidelines for Risk Management*** was scheduled for publication in late May 2007. In compiling the *Standards and Guidelines* the RMA has drawn on research literature and conducted a number of workshops with practitioners across Scotland to establish what makes for effective practice in this area and discussed ideas with academics and policy makers as well as practitioners. This was an ambitious and pioneering piece of work that was originally scheduled to be published in July 2006. At an early stage in the process it was decided that, due to the wide and varied target audience, the document had to be more of a detailed practice manual than a straightforward set of guidelines. The RMA decided that the schedule for completion required to be extended to allow for the amount of work that this entailed. The resulting document will be a more valuable resource to the relevant agencies.

The ***Standards and Guidelines for Risk Management*** have been designed for those who must have regard to them in planning the risk management of offenders who have received an OLR. These are now in use by the Scottish Prison Service in conjunction with the

RMA as the first offender to be given the OLR was sentenced in December 2006. The ***Standards and Guidelines for Risk Management*** have been designed to be of interest also to those working with other offenders who pose a risk of serious harm and the RMA has been actively seeking comments on the draft version of the *Standards and Guidelines* and is currently reviewing these. Collaboration is a fundamental process in all the activities of the RMA and the feedback received from our partners and other interested parties is valued. Version one of the *Standards and Guidelines* will be published by end May 2007 and the views of stakeholders will be sought at a series of seminars between June and August 2007. The feedback received will be used to inform later versions. The RMA will also design a training module to cover the elements of effective risk management practice to support practitioners in the use of the ***Standards and Guidelines for Risk Management***.

The RMA will continue to develop further resources in risk management based on these *Standards and Guidelines* to provide more detailed and practical assistance for the police, local authorities, health service and Scottish Prison Service. It is acknowledged that this field is dynamic and developing and the *Standards and Guidelines* will be evaluated and reviewed in light of further learning.

Risk Management Authority Briefing

Current Practice and Research into Internet Sex Offending

This is the first briefing paper issued by the RMA. It discusses a research project on internet sex offending carried out by Dr Julia Davidson of University of Westminster.



Rapid growth of the internet and advances in technology mean huge benefits to society. Children should be able to enjoy the benefits which the internet offers in safety.

Some 60% of children are now able to access the internet and 70% spend long periods on unsupervised. However, it is also necessary to recognise that with the growth of the internet and the growth in the possibility of the system being used by sex offenders, taking contact with children who want to 'grow' the programme through chat room and social network sites.

The RMA was asked by stakeholders to provide advice in this field. We commissioned Dr Julia Davidson, Senior Lecturer in Technology and Research Methods at the University of Westminster to undertake this work by reviewing current practice and research into internet offending. Dr Davidson has conducted a considerable amount of research on sexual abuse with both perpetrators and victims and offers a strong evidence to government policy and legislative provision for child victims.

The review focuses on how detected offenders are assessed and what works in managing and treating them rather than on prevention or victim support issues. It includes a literature review, documentary analysis of key legislation, policy and practice documents, and interviews. It found that work with

March 2007

SCORING GUIDE FOR RISK MATRIX
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SCORING GUIDE FOR RISK MATRIX
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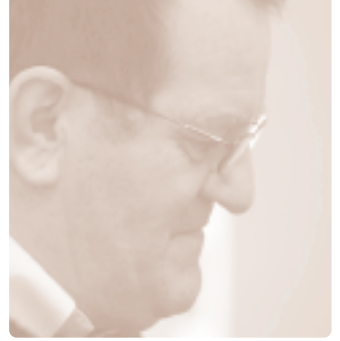
Level of Service/Case Management Inventory
An Offender Assessment System

D.A. Andrews, Ph.D.
James L. Bonta, Ph.D., and
J. Stephen Wormith, Ph.D.

User's Manual

MHS

4



Research and Training

The main priority in the work of the RMA is the **Standards and Guidelines for Risk Assessment and Risk Management**. This is the underpinning base for all of the RMA's work, not only in relation to Risk Assessment Orders and Orders for Lifelong Restriction but in offender risk assessment and management over the full range of serious and violent offenders and it is, therefore, key to Research and Training.

The RMA's research priorities and training priorities go hand in hand to complement and provide the evidence base for the standards and guidelines as they stand and for the continuous improvement of these.

During this reporting year, the key priorities in research and training were:

- To identify gaps in the current range of risk assessment tools and methods for specific offender populations and to commission research into validating existing methods.
- To provide an evidence base for and support the development of standards and guidelines for approving and monitoring risk management plans for serious violent and sexual offenders.
- To provide training programmes and other educational initiatives for the promotion of best practice in risk assessment and ministration in Scotland.
- To conduct, commission and co-ordinate targeted research in the fields of risk assessment and risk management.
- To develop the RMA as a learning centre and resource for practitioners.

During the past year the RMA published the **Risk Assessment Tools Evaluation Directory (RATED)**. This is a document which provides information on the attributes of a number of risk assessment tools and associated techniques and followed a review and evaluation of risk assessment tools. All endorsed tools are suitable for use by RMA accredited assessors and other practitioners undertaking risk assessments for ongoing risk management purposes and the RMA has added further detail to assist practitioners to weigh the strengths and limitations of each tool. Practitioners can use with confidence tools that possess a robust validation history and empirical grounding. Version 2 of **RATED** will be published in June 2007.

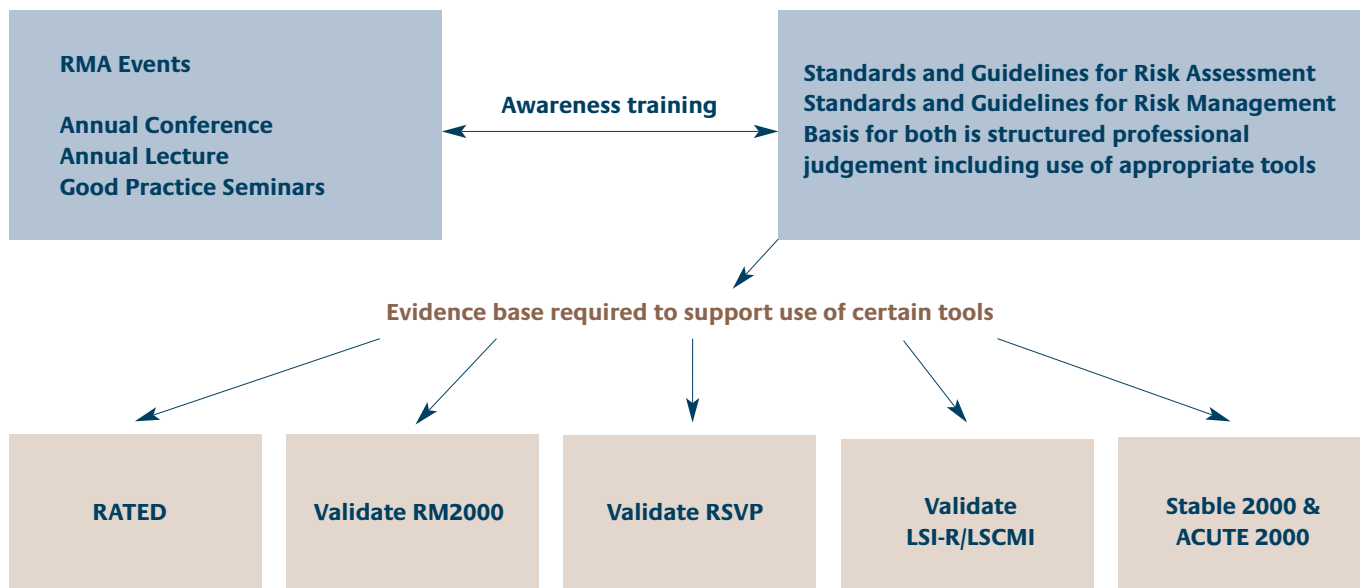
Since the launch of **RATED** feedback has been very positive with enquiries coming from across the globe. Over 2000 hard copies of Version 1 were distributed and requests for copies or further information were received from the Department of Justice, Victoria, Australia; Department of Detention and Imprisonment, Czech Republic; University of Liverpool, Corrections Research Public Safety, Canada; NOMS, London; Office of Sentencing Services, Fairview, North Carolina; and Community Mental Health Team, Northern Ireland.

Research

The RMA's approach during 2005-2006 was to provide the evidence base for the production of the **Standards and Guidelines for Risk Assessment** and to facilitate the introduction of the OLR. The approach in 2006-2007 was to continue with the evidence base for the **Standards and Guidelines for Risk Assessment** and also provide an evidence base for the production of the **Standards and Guidelines for Risk Management**.

The research strategy aimed to provide that evidence base, identify any gaps where further research and development of new tools was required, take action to work towards resolving gaps and also provide validation for some of the most commonly used tools to provide some form of assurance for practitioners and policy makers. Work streams were also informed by feedback received from stakeholders. **The diagram on the following page shows how the research programme fits with the Standards and Guidelines.**

“Since the launch of **RATED** feedback has been very positive with enquiries coming from across the globe.”



Research Projects

A number of research projects were commissioned over the past year, as detailed below:

RM2000

The Minister for Justice, in light of a recommendation from Professor George Irving's "Registering the Risk" report, asked the RMA to undertake a project to validate Risk Matrix 2000 (RM2000) for use in Scotland. This project was awarded to Professor Don Grubin, Newcastle University. The RM2000 is a risk assessment screening tool for sex offenders over the age of 18. It is used within the police service sex offender units in England and Wales and in Scotland. The tool provides an actuarial measure of recidivism. The final report from the project will be published by October 2007 and a policy note submitted to the Scottish Executive on the outcomes of the report. The RMA is very grateful to the Chief Constables of the eight Scottish Police Forces and to Scottish Criminal Record Office staff for the on-going cooperation and assistance given to the RMA in facilitating access to criminal history data for this project. Their willingness to co-operate and efficiency in providing data has been instrumental in progressing this project.

Risk Assessment and Management in Children and Young Offenders

A literature review on the current situation relating to risk assessment and management in children and young offenders was commissioned. The aim of this project is to obtain an overview of the current knowledge and expertise, both nationally and internationally, on assessing and managing the risk

presented by children and young people engaging in offending behaviour. It will take into consideration issues such as sexual and violent offending in young people, gender, risk assessment tools and how decisions on management are formed. The project will also include a report on practice, including the use of tools, processes and strategies, for assessment and management of children and young people's risk to others. The findings of this project will inform the RMA's future work regarding the assessment and management of the risk posed by children and young people engaging in offending behaviour. This contract was awarded to Professor Michelle Burman of Glasgow University and the final report will be published in July 2007.

Review of Current Practice and Research into Internet Sex Offenders

Dr Julia Davidson, University of Westminster, was commissioned to carry out a literature review of current practice and research into internet sex offenders. The full report and a four page briefing paper have been published and are available on the RMA's website. Key recommendations from the report were; the need for further research to explore the behaviours of online groomers; agencies must work together in assessing the risk of pre and post sentence internet sex offenders; practitioners should take into account a number of key factors when assessing the risk of internet sex offenders; the effective management of sex offenders in the community; and the urgent need for the sharing of good practice and research. The RMA welcomed the recommendations and fully endorsed

the need for collaborative working and commends the pioneering work going on internationally in the assessment of internet sex offenders. The RMA presented the findings from the project at a seminar for stakeholders. A recommendation included identifying a repository for research information. The aim of the dissemination was to inform practitioners on best practice.

Framework for Assessing Violence Risk

This project involves devising a risk assessment framework for violent offenders that corresponds with that available for sex offenders. The introduction of MAPPA (April 2007) has led to a call for a screening tool for violence. The intended outcome from this work is to have up to date information on developing research, policy and practice in relation to defining assessing violence risk and to have recommendations on what a framework for assessing violence would comprise and what the RMA would need to do to develop methods to screen for those who might pose a risk of serious harm. The project will contribute towards ensuring the RMA's influence in any subsequent national developments. The contract has been awarded jointly to a team led by Professor David Farrington of Cambridge University who will carry out a meta-analytical study of the use of assessment tools and to a team led by Dr Monica Barry of Strathclyde University who will examine current practice and practitioner need. The teams will liaise in their conclusion and recommendations for further work, which would be the subject of a further tender. The final report is due by October 2007. The RMA will take forward the outcomes from the

report and instruct further work to develop a framework for a violence risk assessment tool.

Assessing and Managing Risk CD Rom

This project involves the development of the "Assessing and Managing risk" CD Rom for practitioners. This work is being undertaken by Professor Hazel Kemshall and is due for completion in Autumn, 2007. The CD Rom provides guidance for the risk assessment and risk management of offenders and is intended as a staff development tool for criminal justice social work line managers. It will serve as both a useful supplement to the RMA Standards and Guidelines and a resource to support the introduction of MAPPA. The CD Rom comprises six core sections and the contents for each section are broken down into topics and sub topics. It is designed to be used either as a 'whole', or in parts depending on the individual or organisational requirements. In addition to offering guidance on the risk assessment and risk

management of offenders, the CD Rom provides access to a broad range of resources related to offender management; each individual section provides links to pages that offer additional web links, multimedia, official documents and references that are relevant to the section.

LSCMI

The RMA has been working with the Scottish Executive, Scottish Prison Service and Association of Directors of Social Work to introduce the Level of Service Case Management Inventory (LSCMI) to Scotland.

The LSCMI is a comprehensive risk assessment and case management system that will become the common core instrument in the prison service and in the criminal justice social work services. This development has long been awaited and in the year 2006 – 2007 the contract for this development has been negotiated and agreed by the RMA with Multi-Health Systems (MHS), Toronto. This project has involved considerable inter agency co-operation and has been greatly supported by the MHS staff and the authors of the instrument Drs Don Andrews, James Bonta and Steve Wormith. In collaboration with the authors and MHS staff, the instrument has been adapted to suit the Scottish context.

In May 2007 a Train the Trainer event will introduce this tool to Scotland and training will begin to be delivered to staff later in the year.

The results of all research projects commissioned by the RMA will be available to view or download from its website when they are completed.

Future Developments

During the next reporting year 2007-08 the RMA will undertake the following projects and publish appropriate reports and where necessary policy notes, as detailed in the business plan:

RSVP

Commence the study for the validation of the Risk of Sexual Violence Protocol (RSVP) for use in Scotland.

LSI-R and LSCMI

Commence the study for the validation of the Level of Service Inventory (LSI-R) and continue the work on Level of Service Case Management Inventory (LSCMI).

RATED Version 2

Publish the annual review of our Risk Assessment Tools Evaluation Directory (RATED) as Version 2 by the end of May 2007 and conduct ongoing literature searches and liaison with authors to promote the integrity and usefulness of RATED through periodic revisions.

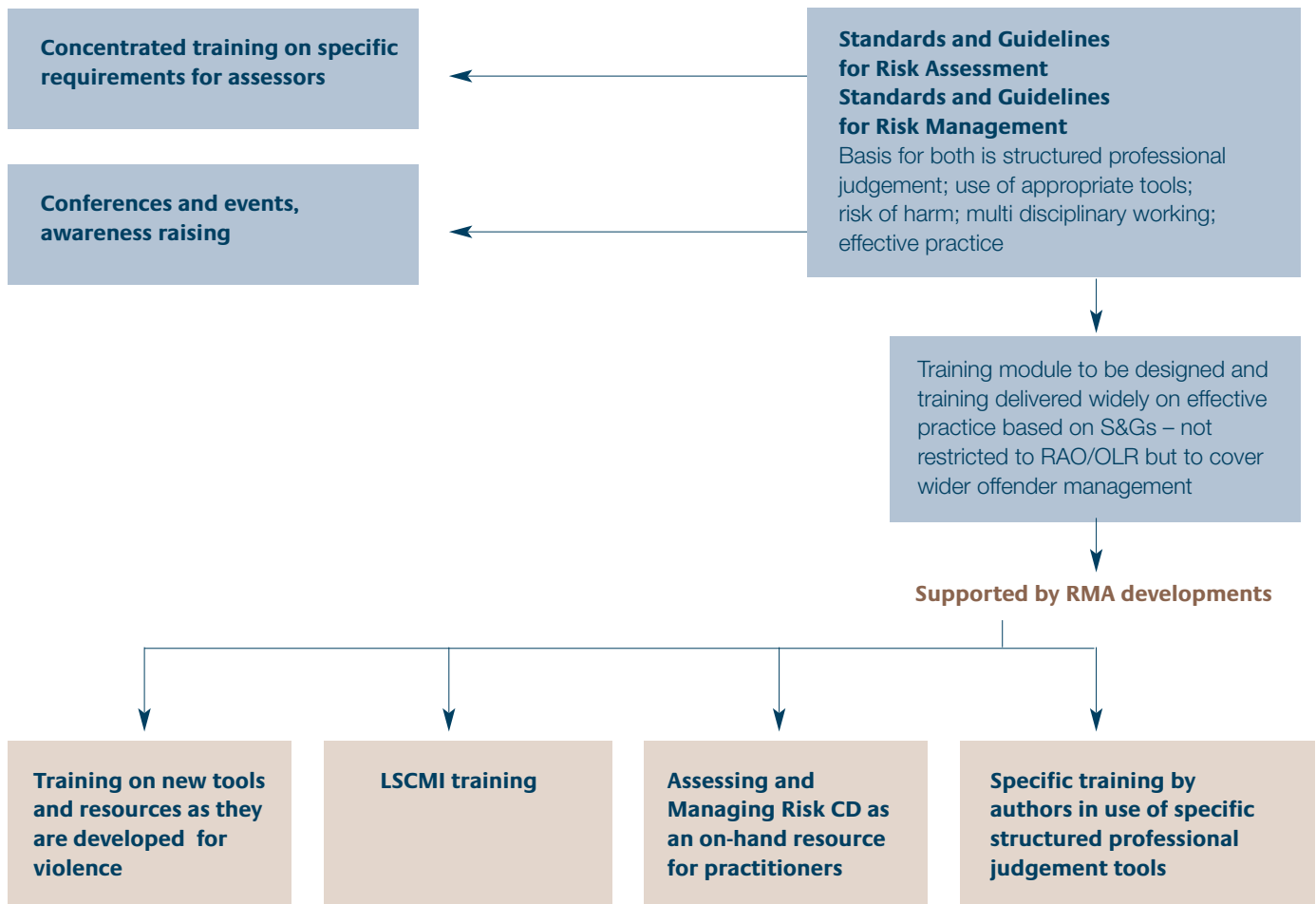
STABLE 2000 and ACUTE 2000

Commission consultancy on the evaluation of the use of Hanson and Harris STABLE 2000 and ACUTE 2000.

“The results of all research projects commissioned by the RMA will be available to view or download from its website when they are completed.”

Training

The RMA's approach to training has been informed by the response to the consultation on the research and training strategy, feedback received from events and training needs identified in addressing gaps as part of the research programme. The overall aim is to get practical and productive training in place to support agencies in the implementation of the Standards and Guidelines for risk assessment and risk management. The diagram below shows where the RMA training programme fits with the Standards and Guidelines.



The RMA has a statutory responsibility to promote effective practice in the assessment and minimisation of risk and for this purpose an in-depth training programme in risk assessment and management has been designed. The initial training packages will provide training on different aspects of risk assessment and management, which has been identified as a fundamental principle in several recent pieces of criminal justice legislation.

The first training package that will be available is the 'Risk of Harm Assessment, using a structured professional judgement approach'. This has been designed in five modules for the RMA by Professor Randall Kropp and Professor Stephen Hart. A pool of trainers is being established to deliver the training and it is hoped that delivery of the training in each CJA area can commence from July 2007. The training will be launched by the RMA funding

delivery of up to five modules in each of the eight Community Justice Authority areas, as required.

The RMA training plan, as detailed on the next page, also includes training for accredited assessors and training for practitioners. The RMA welcomes feedback and proposals from stakeholders to develop further training modules relevant to different areas of risk assessment and risk management.

RMA Training Programme 2007-2008

<p>Risk of Harm Assessment using: HCR 20 RSVP SARA & B-SAFER SAM</p> <p>Designed by Professor Randall Kropp and Professor Stephen Hart</p>	<p>Train the Trainer sessions 23 to 27 April 2007.</p> <p>This course consists of five modules. Module 1 must be undertaken by all participants and will be relevant to managers and policy makers as well as practitioners. Participants can choose from the remaining tool-specific modules, which can be delivered independently of each other.</p> <p>Roll-out of RMA funded courses to commence in Autumn 2007, the RMA will fund 8 courses ie one 5 day course in each CJA area.</p> <p>Agencies will be able to access the list of RMA approved trainers on the RMA website and will be able to approach trainers direct to organise further delivery of the training funded by the agency or organisation.</p>
<p>Risk of Harm CD Rom – a guidance and staff development resource. Professor Hazel Kemshall</p>	<p>Training will be delivered by Professor Hazel Kemshall and associates.</p> <p>Training will be a one day course. The RMA will fund between 8 and 10 one day courses over the CJA / MAPPA areas. This training is aimed primarily at Criminal Justice Social Work first line managers as the resource is designed for staff development in risk management. Other agencies may also find this training useful. Roll-out of the training will be Autumn 2007.</p>
<p>Level of Service Case Management Inventory (LSCMI) Training Designed by Professor Don Andrews and Professor Steve Wormith</p>	<p>The Train the Trainers sessions for the LSCMI will be undertaken on 29 to 31 May 2007.</p> <p>The Scottish Executive will take the lead on organising delivery of the LSCMI training which will be aimed primarily at Criminal Justice Social Work and the Scottish Prison Service.</p>
<p>Elements of Effective Risk Management Practice – course based on RMA Standards and Guidelines for Risk Management Plans Design contract not yet awarded.</p>	<p>The RMA Standards and Guidelines for Risk Management Plans will be issued by end May 2007 inviting feedback from agencies. The tender for the design of a training module to complement the Standards and Guidelines will be issued in Summer 2007 and the estimated delivery of the Train the Trainers sessions and initial roll-out of the training module will be in Autumn.</p>

Int

- At least 6
- At least 3
- Plus feed

5



Communication

The RMA is committed to excellent communication with stakeholders. What is communicated and who to communicate with, looking at the best way to deliver key messages and information to a wide and diverse audience group are priorities for the RMA. Communication is a two way process and the RMA will listen carefully to the views of practitioners and stakeholder groups.

The RMA put in place external and internal communications plans for the year 2006-2007. These set out how the communication function could support and enhance the organisational business objectives and goals and ensure that communication was effective.

To ensure that key stakeholders could be reached with ease, a full review of the RMA contacts database was undertaken in July 2006. This captured gaps in data, people changes in organisations etc, and a similar review will now be undertaken on an annual basis. This also ensured that information and events flyers could be issued by email resulting in cost, time and environmental efficiencies. This year, flyers and information were issued by e-mail to 68% of the RMA contacts held on the database. During the next reporting year the target will be to increase this to at least 80%.

All publications, exhibitions and presentations must follow RMA corporate guidelines and strict control of the RMA corporate identity is maintained.

After all RMA events, stakeholders are actively encouraged to provide feedback. Facilities are available to comment on publications via the RMA website. Such feedback is treated seriously and with respect and helps to inform future events and articles.

The RMA's first Annual Conference was held in Edinburgh in May 2006. The theme was "Towards Effective Risk Management" and delegates from all over the UK attended. This event was oversubscribed from an early stage. Speakers included Lord MacLean, Chairman of the Committee on Serious Violent and Sexual Offenders, Professor Hazel Kemshall of De Montfort University, Ruth Mann and Gill Attrill from the Home Office. Practitioner workshops on a variety of topics from Human Rights to Risk Formulation were held as part of the conference.

The RMA also held its first Annual Lecture at the Signet Library in Edinburgh on 14 November 2006 which was given by the then Solicitor General, John Beckett QC. The theme of the lecture was "Risk Management and the Law". A series of Good Practice Seminars has been held across the country with topics that include Risk Formulation, Motivating Offenders to Change and Internet Sex Offending. A diary of Good Practice Seminars on a variety of topics until the end of 2008 has been put in place, as follows:

Date	Topic
September 2007	Management of Complex Sex Offenders in the Community
December 2007	Stable 2000 and Acute 2000 – Data from Canada
February 2008	Structured Professional Judgement Approach to Risk Assessment
September 2008	Violence and Women as Victims and Perpetrators
December 2008	The Assessment and Reduction of Violence Risk

The RMA website is updated regularly and a policy is in place to ensure the website is continually reviewed. As well as general information, it contains versions of all RMA publications and presentations from events which can be downloaded.

A number of systems and procedures have been put in place to enhance internal communication within the RMA. These include a full file review and records management policy, an information area within the RMA office and policies and procedures for capturing and disseminating information.

The RMA is regularly invited to present at conferences and to organisations and groups. During this reporting year presentations have been given to:

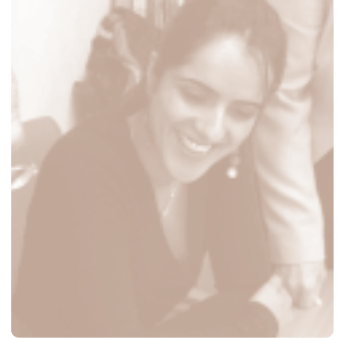
- Judicial Studies Refresher course
- National Organisation for the Treatment of Abusers (NOTA Scotland)
- Psychiatric Resident Medical Officer (RMO) training event.
- The Law Society of Scotland
- British Psychological Society Division of Forensic Psychology Annual Conference
- British Society of Criminology Annual Conference
- Association of Chief Police Officers in Scotland - Management of Offenders Act Conference
- Scottish Prison Service Annual Conference
- Fife Constabulary Workshop
- Aberdeen Forensic Psychiatry Conference
- Scottish Prison Service National Facilitators Conference
- Community Justice Authorities' Conference
- Crown Office Advocate Depute Seminar
- Parole Board Annual Conference
- The inaugural meeting of the Scottish Branch of the Division of Forensic Psychology
- Holyrood Conference "Dealing with Dangerous Offenders"
- Home Office Public Protection Unit

The range and breadth of the organisations that have asked the RMA to present workshops or keynote speeches shows that the RMA's reputation is growing and that there has been interest across all areas of criminal justice.

The RMA welcomes continual feedback and proactive communication with all its stakeholders. Policies and procedures will be continually reviewed to ensure that the RMA communication function continues to improve and remains accountable giving the RMA the very best opportunity in all its functions.



6



Best Value and Good Governance

Best Value provides a common framework for continuous improvement in public services in Scotland. The RMA is committed to promoting the efficient and effective use of staff and other resources in accordance with the principles of Best Value.

The Characteristics of Best Value that public service organisations are expected to demonstrate are:

- Commitment and leadership
- Responsiveness and consultation
- Sound governance arrangements at strategic, financial & operational levels
- Sound management of resources
- Use of review and options appraisal
- Accountability
- Joint working
- Sustainable development
- Equal opportunities.

During this reporting year, the RMA commenced a Best Value self assessment exercise to establish a starting point on which to build. The RMA is committed to high levels of accountability, quality, openness and transparency in all of its functions across all parts of the business through Best Value and Corporate Governance.

Improvements made during 2006-07

Project	Scope	Outcome
Contacts database review	Updating all information held including capturing missing information	Now send a much larger proportion of information by email – greater efficiency
Introduction of electronic process management system	Working with Scottish Executive to develop an electronic process management system	To enhance efficiencies in the administration of RMA processes thus concentrating resources on front line delivery
Adaptations of finance processes and procedures	Review of existing arrangements against best practice and implementing new procedures for banking arrangements	To ensure enhanced prudent and accountable systems in place
Adaptations of Accreditation Process	To make the application process more facilitative and attract more people to apply for accreditation	Initial changes put in place with further in-depth revisions to the process to be agreed as part of full structured review of the process
File review and introduction of records management policy	To examine how information is stored both in paper format and electronically	To increase efficiency in information sharing within the RMA and provide ease of access to documentation
Introduction of Environmental Policy	To decrease the amount of waste going to land fill sites and increase recycling	Recycling bins in place, energy efficiency awareness raising

The RMA continues to implement, review and amend its processes to meet business needs and continually improve. Regular staff meetings and planning meetings are held to strive for continuous improvement. A new business planning tool will be introduced in 2007-2008. This planning tool has been developed from the Scottish Executive planning tool and will increase efficiency and effectiveness in business planning monitoring and reporting arrangements and assist in embedding a culture of corporate risk assessment and management throughout the organisation.

In line with one of the key principles of good corporate governance, the RMA takes a challenging approach to all of its work and encourages a staff culture of challenging and being challenged. This approach leads to strong defensible decision-making which is paramount to ensure accountability and assists in the journey towards achieving Best Value. High importance is given to planning, organising, directing and controlling work.

A number of new policies and procedures have been put in place covering various issues including Environmental matters, Health and Safety, Retirement and Data Protection. Existing policies and procedures have been updated to take account of changing legislation including the Employment Equality (Age) Regulations which came into force in October 2006 and The Disability Equality Duty which came into force in December 2006.

In line with the commitment to Best Value, the RMA has implemented a programme of appraisal and review for all policies and procedures.

During this reporting year work commenced to implement an electronic process management system to enhance the RMA's business and produce more efficient and effective outcomes with best use of resources, freeing maximum time to concentrate on the substance of the RMA's work and keep administrative aspects/processing to a minimum. In the ethos of the shared services and efficient government agenda the RMA agreed to work with the Scottish Executive Information Systems and Information Services Division (ISIS) to develop the system and ensure that the system will be of the highest standard and fit for purpose. The system will be introduced in stages and is timetabled to be fully implemented by March 2008.

The electronic process management system will cover many of the RMA's business processes such as:

- Accreditation of persons and manners
- Renewal of accreditation of persons and manners
- Accreditation appeal / complaints/ suspension / withdrawal / termination
- Research and Training procurement
- Approval and review of Risk Management Plans
- Freedom of Information
- Recruitment / HR.

Other benefits of the system include providing consistency and continuity in processes and a monitoring system for the Senior Management Team. This will ensure records are better managed and information is recorded, retained and accessible.

The RMA places high importance on a "plan, do, review" approach ensuring transparency and accountability in all aspects of the work. A full appraisal system is in place for all staff which involves objective setting and formal review at six monthly intervals. The focus of the RMA's work is agreed on an annual basis in the Business Plan and quarterly planning meetings are held with all staff to provide updates and input as the RMA continues to move forward. Reports on progress under the business plan are given at regular intervals to staff,

“In line with one of the key principles of good corporate governance, the RMA takes a challenging approach to all of its work and encourages a staff culture of challenging and being challenged.”

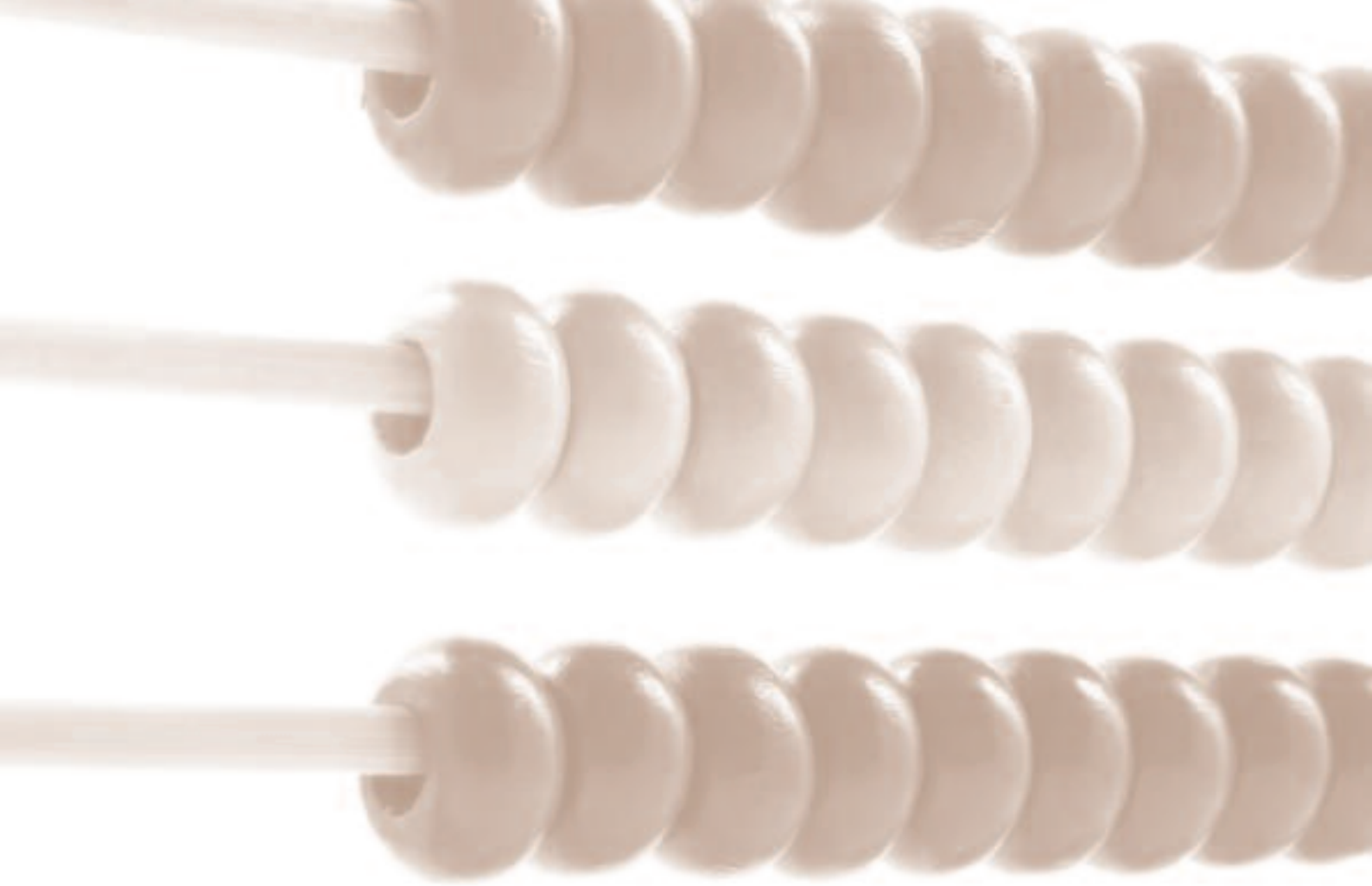
management, the Board and the Sponsor Department at the Scottish Executive. Achievements are continually monitored against the Business Plan and a report on performance against key targets is listed in the Management Commentary within the Annual Accounts section of this document.

An Environmental Procedure / Action Plan has been implemented which includes a recycling system for paper, plastic and cans, a procedure for using drinking glasses instead of plastic cups to reduce the volume of plastic waste and further use has been made of the video / telephone conferencing facility, which was procured in the last reporting year, to reduce the need to travel for official business purposes. In order to set environmental targets for 2007/08 and beyond, a monitoring system to record levels of recyclable waste, paper usage and use of the video / telephone conference facility has been put in place.

It is important to the RMA to focus on staff development to assist every member of the team to reach his or her full potential within their roles. A corporate training plan has been put in place for both staff and Board Members. Staff agree their training needs through the Annual Appraisal system and any further identified training needs during the course of the year. The RMA is funding further education at degree level to invest in staff as part of a continual improvement process which will be of benefit to staff and also relevant to the RMA's work.

During this reporting year staff attended training in:

- Plain English
- Prince 2
- RSVP & workshop on Sexual Offending in the 21st Century
- Sustaining Solutions: procurement and disposal
- Excelling as a first time manager or supervisor
- Essential management
- Keyboard skills
- Managing individuals
- Developing and managing teams
- First aid at work
- Risk assessment tools PCL-R, HCR-20, CAPP, PRISM and IPDE.



Accounts

Accounts Annual Report

Background

Introduction

This statement of accounts reports the results of the Risk Management Authority (the Authority) for the year 1 April 2006 to 31 March 2007. It has 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.

History of the Authority

The Committee on Serious Violent and Sexual Offenders, chaired by Lord MacLean, reported to Scottish Ministers in 2000 and recommended, inter alia, the need for an independent body, whose role would be to ensure that statutory, voluntary and private sector agencies worked together systematically to address the risk posed by serious offenders. After consultation, Scottish Ministers agreed to create a non-departmental public body to fulfil the recommendation of Lord MacLean and his Committee. The Risk Management Authority was established by Section 3 of the Criminal Justice (Scotland) Act 2003 (the Act).

Statutory functions

The Authority's statutory functions are:

- In relation to the assessment and minimisation of risk:
 - (i) compile and keep under review information about the provision of services in Scotland;
 - (ii) compile and keep under review research and development;
 - (iii) promote effective practice; and
 - (iv) give such advice and make such recommendations to the Scottish Ministers as the Authority considers appropriate.

The Authority may:

- (i) carry out, commission or co-ordinate research and publish the results of such research; and
 - (ii) undertake pilot schemes for the purposes of developing and improving methods.
- Prepare and issue guidelines as to the assessment and minimisation of risk;
 - Set and publish standards according to which measures taken in respect of the assessment and minimisation of risk are to be judged;
 - Administer the Scheme of Accreditation (SSI 2006 No 190 The Risk Assessment and Minimisation (Accreditation Scheme) (Scotland) Order 2006) made under Section 11(1) of the Act;
 - Provide or secure the provision of education and training in relation to the assessment and minimisation of risk for persons and/or manners accredited under the above mentioned scheme;
 - Specify and publish the form of Risk Management Plans;
 - Approve Risk Management Plans and review the implementation of Risk Management Plans

Board and senior staff

Appointments to the Board of the Authority are made by Scottish Ministers. Seven Members currently serve on the Authority, one of whom is Convener.

Convener: Mr Robert Winter

Board Members:
Professor Jim McManus

Dr Caroline Logan

Ms Morag Slessor

Mr John McNeill

Mr Peter Johnston

Mr Peter Withers

The Chief Executive is Professor Roisin Hall, who is the Accountable Officer for the Authority.

The Authority currently employs a Director of Business Performance, a Director of Operations and Development, three Practice Development Managers (one on Secondment), a Research and Training Manager, a Research and Training Officer, a Communication Manager, a Systems and Policy Officer and 2 administrative support staff.

The Register of Members' interests is available on the Authority's website www.RMAScotland.gov.uk or from the Authority (tel: 0141 567 3112 e-mail: info@RMAScotland.gsi.gov.uk)

Management Commentary

The Authority is financed 100% by Grant-in-Aid from the Scottish Executive. The Scottish Ministers are answerable to the Scottish Parliament for the Authority and are responsible for making financial provision to meet the Authority's needs.

Performance

Details of the Authority's performance during the reporting year are detailed in the Annual Report. In summary, 2006-07 performance against key work areas (as stated in the Future Developments section of the Annual Accounts for 2005-06) was as follows:

Accreditation of Assessors

One of the key areas of work for the Authority this reporting year was to concentrate on accreditation of assessors. The Authority's process for the evaluation and consideration of applications from those seeking accreditation was revised in light of the pilot project undertaken between November 2005 and January 2006 and the formal process documentation published, along with the Standards and Guidelines for Risk Assessment, in April 2006. During the reporting year 8 applications were received, from which 3 people were accredited to conduct risk assessments under a Risk Assessment Order (RAO) for the High Court. Of the remaining 5 applications, 4 were declined accreditation and the decision on 1 application has been deferred to allow the applicant the opportunity to undertake relevant training.

The Authority put in place a programme to attract sufficient numbers of applications for accreditation from relevant professionals, this included holding pre-application workshops, advertising in professional journals and on the websites of relevant criminal justice organisations and publishing explanatory leaflets on the accreditation process. However, the amount of interest from people seeking to become accredited assessors has been much lower than expected. In light of this, the Authority undertook a review of its process and made some changes to the process for evaluation and consideration of applications in December 06 and March 07. It is hoped that the changes to the process and the continued awareness raising programme will attract more people to apply for accreditation as risk assessors for the purposes of the RAO. It is also recognised that a longer term view of this allows for the development of potential candidates to a level that they may feel confident of meeting the competencies. This is being addressed through the RMA training strategy.

Risk Management Plans Standards and Guidelines

The Authority reported in the 2005-06 Annual Report that the work on the preparation of the Standards and Guidelines for Risk Management Plans had been initiated in January 2006 and the Authority was on target to meet the deadline of July 2006 for the publication of the Standards and Guidelines. However, the work associated with the preparation of the Standards and Guidelines was an ambitious and pioneering piece of work and a decision was taken in July 2006 that due to the wide and varied target

audience, the document had to be more of a detailed practice manual than a straightforward set of guidelines. Therefore, the Board of the Authority agreed to extend the timescale for the publication to allow for the amount of work that this entailed. This will prove to be a more valuable resource to the relevant agencies. This reporting year has seen a vast amount of work having been undertaken in the preparation of the Standards and Guidelines, including collaboration with criminal justice agencies and extensive searching of research literature to provide the evidence base. The Authority has worked closely with key stakeholders to produce version one of the Standards and Guidelines which will be formally published by end May 2007. The Standards and Guidelines are aimed primarily at Lead Authorities for the risk management of offenders subject to an Order for Lifelong Restriction (OLR). The High Court imposed the first OLR in December 2006 and the Authority has worked closely with the Scottish Prison Service in the work required for the preparation of the first Risk Management Plan.

Research

Another key area for the Authority this reporting year was to commission various research projects to inform best practice in offender risk assessment and management. The following table details the projects which were commissioned during this reporting year and shows the status of each (fuller information on each of these projects can be found in the Research and Training section of the Annual Report).

Project Name	Status
Validation of Risk Matrix 2000 for a Scottish population	The original target for this work was to publish the final report by 31 March 2007. However, there were some delays in obtaining access to required information for the researchers. This was resolved and the Authority agreed to revise the timescale for publication of the final report to October 2007.
Risk Assessment and Management of Children and Young Offenders – A literature review	The original target for this work was to publish the final report by December 2006. However, due to changing work priorities the Authority agreed to revise the timescale for the publication of the final report to end July 2007
Internet Sex Offenders – A review of current practice	The target for receipt of the final report was October 2006 which was achieved.
Establishing a Framework for Assessing Violence Risk	The original target for the commissioning of this work was mid-December 2006. However, due to changing work priorities the Authority agreed to revise the timescale and the work was commissioned by inviting tenders for this work in February 2007. The timescale for the publication of the final report is October 2007
Publish version 2 of the Risk Assessment Tools Evaluation Directory (RATED)	The first version of RATED was published in April 2006. Work has been taken forward this reporting year to prepare version 2 and this will be formally published by end May 2007
Development of the Level of Service Case Management Inventory (LSCMI) for use in Scotland	Initially, the RMA was asked to provide guidance to the Scottish Executive on the development of the LSCMI. However, in order to progress more expeditiously this important and much needed tool for Scotland, the RMA undertook the procurement and finalisation of the contract with the supplier for the development of the tool. This involved in-depth working with the supplier, the tool authors and key stakeholders to develop a specification for development of the tool to ensure its suitability for use in Scotland and provide invaluable benefit to criminal justice agencies. The Head of the Scottish Executive Effective Practice Unit re-established the LSCMI implementation steering group to ensure that the project progressed as a true inter-agency project. The RMA provided the assistance in restructuring and progressing the project and recognises and values the contribution and enthusiasm that has been given by criminal justice agencies. The RMA's target was to commence the development work and conduct negotiation on the development of the LSCMI by end November 2006 and agree contract terms with the supplier by end March 2007. Both targets were achieved.

Future Developments

The Annual Report contains details of the on-going work of the Authority and the developments which will take place during the next reporting year (2007-08). During the next reporting year the Authority will aim to deliver high standard public services as a key resource for agencies involved in the risk assessment and management of serious offenders. To achieve this, the key areas of work which the Authority will concentrate on during the next reporting year are:

- Providing advice on the development and review of policy in Scotland on risk assessment and risk management through input to the National Advisory Board and through close working with the Scottish Executive and criminal justice agencies
- Provide the evidence base for use of various risk assessment and risk management tools by conducting validation studies of the LSI-R, LSCMI and RSVP and by undertaking on-going literature searches and liaison with authors to promote the integrity and usefulness of the Risk Assessment Tools Evaluation Directory through periodic revisions
- Conduct a structured review of the Accreditation process and the Risk Assessment Standards and Guidelines
- Accredite a sufficient number of assessors to undertake risk assessments under a Risk Assessment Order

- Implementation and awareness raising of the Standards and Guidelines for Risk Management Plans through close working with Lead Authorities and hosting educational and consultation seminars
- Design training modules and delivery of training in Scotland on various aspects of Risk Assessment and Risk Management

Environmental Matters

During this reporting year, the Authority fully implemented its environmental policy and has continued to take steps to protect the environment eg a recycling system has been introduced for paper, plastic and cans, the use of telephone/video conferencing has increased and procedures have been put in place in relation to environmental matters for all staff. A monitoring system is in place to record levels of recycling waste and use of telephone/video conferencing, with a view to setting environmental targets for 2007-08 and beyond.

Financial Results

The accounts for the year ended 31 March 2007 are set out in pages 46 to 48. The Notes to the Accounts on pages 49 to 54 form part of the accounts.

All expenditure during 2006-07 was within agreed budgetary provision. The Authority's budget for 2006-2007 was set at £1,585,000 at the start of the year. The underspend against budget provision for the year was £653,000, £100,000 of which related to budgetary provision for the design and implementation of an electronic process management system for the Authority, the original provision was £200,000 actual costs for the system will be around £100,000. £531,000 of the underspend has been carried over to 2007-08 to fund various projects which were scheduled to conclude or commence in 2006-07 but have now been taken forward into 2007-08. The main projects are:

Design and Implementation of an electronic process management system for the authority	The commencement of this project was originally set for early 2006. However, the Authority was asked by the Scottish Executive to work with the SE in-house IT development teams to put forward a solution to provide the system required by the Authority. There were various delays in the SE providing the required costings and proposals which resulted in the project not being commenced in time to utilise the budgetary provision available. Therefore, provision of £100,000 has been carried forward to 2007-08 budget to commence and conclude the project.
Devise a Risk Assessment Framework for Violent Offenders and develop a screening tool.	This project was scheduled to commence in December 2006. However, due to other business priorities the work was delayed until February 2007 when the invitation to tender was issued. The work has now commenced with a final outcome report due by end October. Funding of £135,000 for this project was carried over from 2006-07 to 2007-08 budget.
Elements of Effective Risk Management – design and develop training module and deliver training in the 8 Community Justice Authority areas	This training module is to develop a course to complement the Authority's Standards and Guidelines for Risk Management Plans. The work in commencing this project has been delayed to fall in line with the timescale for the publication of the Standards and Guidelines. Funding of £115,000 for the project was carried over from 2006-07 to 2007-08
Delivery of RMA funded training on the Risk of Harm and its Assessment	Funding of £20,000 has been carried over from 2006-07 to 2007-08 to contribute to the overall funding required for this project, the remaining required funds being provided direct from 2007-08 budget provision.
Commission consultancy on evaluation of the use of STABLE 2000 and ACUTE 2000	This project has been carried over to 2007-08 as further communication with the SE regarding exact requirements for the project was required. Funding of £30,000 has been carried over from 2006-07 to 2007-08 for total funding for the project.
Level of Service Case Management Inventory (LSCMI)	The provision of the £50,000 for the development of the tool for use in Scotland was carried over to 2007-08 as the time taken to agree the specification for the required development work took longer than anticipated.

Changes in Fixed Assets

There are no changes in fixed assets to report for the year ended 31 March 2007.

Post Balance Sheet Date Events

There are no post balance sheet date events to report for the year ended 31 March 2007.

Public interest Reporting

Charitable Donations

No charitable donations were made in the year ended 31 March 2007.

Payment Performance

The Authority's policy is to pay all invoices, not in dispute, within 30 days or the agreed contractual terms if otherwise specified. The Authority aims to pay 100 per cent of invoices, including disputed invoices once the dispute has been settled, on time in these terms. During the year ended 31 March 2007 the Authority paid 92% of all invoices received within the terms of its payment policy. The Authority observes the principles of the Better Payment Procedure Code.

Equal Opportunities

The Authority is committed to ensuring equal opportunities for all employees and potential employees. The Authority has an equal opportunities policy in place.

People with Disabilities

The 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 Authority is based solely on ability, qualifications and suitability for the work.

Staff Involvement and Development

The Authority is committed to training its staff and encouraging them to identify and attend developmental and further education training where applicable. The Authority openly encourages staff involvement in the business planning processes and the on-going development of the Authority's work. A corporate training strategy and individual personal

development plans have been fully implemented during 2006-07 for the on-going development of all staff. The Authority holds a regular cycle of staff team meetings.

Pension Costs

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

Auditors

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

Disclosure of information to auditors

As the Accountable Officer who held office at the date of approval of this management commentary, I confirm that, so far as I am aware, there is no relevant audit information of which the Authority's auditors are unaware; and I have taken all the steps that I ought reasonably to have taken as Accountable Officer to make myself aware of any relevant audit information and to establish that the Authority's auditors were aware of that information.



ROISIN HALL
Chief Executive
12 June 2007

Remuneration Report

The Convener and Board Members

The Convener and Board Members of the Authority are paid an annual salary which is set by Scottish Ministers. The salary rate is normally increased annually in line with the percentage uplift agreed by the Scottish Executive Senior Salary Review Board.

Chief Executive

The Authority's Chief Executive was appointed in December 2004. As part of that appointment process and in conjunction with the Scottish Executive, the Board of the Authority agreed a salary range for the Chief Executive and agreed a starting salary within that range. The Board further agreed that the Chief Executive's pay would be reviewed annually and any pay award for the Chief Executive would be dependent on performance. Pay awards for the Chief Executive must be approved by Scottish Ministers. The Chief Executive's performance is assessed by the Convener of the Authority using a system of annual appraisal and the performance conditions are based on achievement of the Authority's annual business plan and corporate plan objectives.

The Authority has in place a Remuneration Committee, current membership of the Committee is Mr Robert Winter and Mr John McNeill. The Committee's function is to make recommendations to the Board of the Authority and the Scottish Ministers on the level of annual pay award for the Chief Executive.

Directors

The remuneration for the Authority's Directors is set by the Board of the Authority subject to Scottish Ministers' approval. As part of the appointment process and in conjunction with the Scottish Executive, the Board of the Authority agreed salary ranges for the Directors and agreed starting salaries within that range. The Directors' salaries are reviewed annually as part of the Authority's pay remit process for all staff of the Authority, with the exception of the Chief Executive. Pay awards for the Directors are dependent on performance. The Directors' performance is assessed by the Chief Executive using a system of annual appraisal and the performance conditions are based on achievement of personal objectives agreed for each Director based on the Authority's annual business plan and corporate plan objectives.

Service Contracts

Staff appointments to the Authority are based on merit and on the basis of fair and open competition. The Chief Executive and Directors are permanent appointments with a 3 month notice period. There are no early termination payment clauses within the contracts.

The Chief Executive and Directors' posts are pensionable under the civil service pension arrangements. The Convener and Board Member appointments are not pensionable.

The Convener and Board Members are public appointments made by Scottish Ministers under the procedures set by the Office of the Commissioner for Public Appointments. The Convener is appointed for a term of 3 years which ends 31 August 2007. The Members are appointed for terms of 4 years which end on 31 August 2008 for three Members, ends on 6 July 2009 for one Member and ends on 30 September 2010 for two Members.

Remuneration and Pensions

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

Remuneration

No benefits in kind were made to the Convener, Board Members, Chief Executive or Directors.

	2006-07	2005-06
	Salary	Salary
	£	£
Mr Robert Winter, Convener	7,985	7,829
Professor Jim McManus	5,548	5,439
Mr John McNeill	5,548	4,016
Dr Caroline Logan	5,548	5,439
Ms Morag Slesser	5,548	5,439
Dr John Baird (until March 2006)	-	5,439
Mr Peter Johnston (from 1 October 2006)	2,790	-
Mr Peter Withers (from 1 October 2006)	2,790	-
Professor Roisin Hall, Chief Executive	61,950	60,000
Ms Yvonne Gailey (from 18 July 2006)	31,328	-
Mrs Jackie Bergen	41,451	33,333*
* (from 1 June 2005)		

Pension Benefits

	Accrued pension at age 60 as at 31/3/07 and related lump sum	Real increase in pension and related lump sum at age 60	CETV at 31/3/07	CETV at 31/3/06	Real increase in CETV
	£'000	£'000	£'000	£'000	£'000
Professor Roisin Hall	15-20 40-45 (lump sum)	0-2.5 0-2.5 (lump sum)	426	409	18
Mrs Jackie Bergen	5-10 40-45 (lump sum)	0-2.5 0-2.5 (lump sum)	100	91	8
Ms Yvonne Gailey	0-5 n/a (lump sum)	0-2.5 n/a (lump sum)	8	-	7

Salary

'Salary' includes gross salary; performance pay or bonuses; 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.

Benefits in kind

The monetary value of benefits in kind covers any benefits provided by the employer and treated by the Inland Revenue as a taxable emolument.

Pensions

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

Employee contributions are set at the rate of 1.5% of pensionable earnings for classic and 3.5% for premium and classic plus. Benefits in classic accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no

automatic lump sum (but members may give up (commute) some of their pension to provide a lump sum). Classic plus is essentially a variation of premium, but with benefits in respect of service before 1 October 2002 calculated broadly as per classic.

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

Cash Equivalent Transfer Values

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

of their purchasing additional years of pension service in the scheme at their own cost. CETVs are calculated within the guidelines and framework prescribed by the Institute and Faculty of Actuaries.

Real increase in CETV

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



ROISIN HALL
Chief Executive
12 June 2007

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 on a reasonable basis;

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 Executive has designated the Authority's Chief Executive, Professor Roisin Hall, as the Accountable Officer for the Risk Management Authority. Her responsibilities as Accountable Officer, including her 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 Authority's assets, are set out in the Memorandum to Accountable Officers of Other Public Bodies.

Statement on Internal Control

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 Authority's assets for which I am personally responsible, in accordance with the responsibilities assigned to me in the Management Statement and Financial Memorandum.

As Accountable Officer I have specific responsibility in relation to:

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

The purpose of the system of internal control

The system of internal control is designed to manage rather than eliminate the risk of failure to achieve the Authority's policies, aims and objectives. It can therefore only provide reasonable and not absolute assurance of effectiveness.

The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Authority's policies, aims and objectives; to evaluate the nature and extent of those risks and to manage them efficiently, effectively and economically. This process has been in place for the year ended 31 March 2007 and up to the date of approval of the annual report and accounts and accords with Scottish Executive guidance.

Risk and control framework

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

The Authority's risk management strategy specifies the roles of the Board, the Audit Committee and the Chief Executive and details the process of risk identification in relation to the Authority's objectives. The

strategy also details the process of risk categorisation and the approval and review structure for the Risk Register by the Audit Committee and Board.

To ensure that risk management is embedded into the processes of the Authority the risk management strategy requires that the Risk Register is reviewed regularly with all staff as a standing item at the regular staff meetings; that the Register is reviewed at least every 3 months and prior to each Audit Committee meeting; and that the Register is reviewed in conjunction with the preparation of the Corporate Plan and the annual Business Plan.

More generally, the Authority is committed to a process of continuous development and securing Best Value. We continue to develop our systems, taking account of available best practice information in this area. We will ensure effective monitoring and review arrangements for our systems to ensure continuous development and Best Value for the future.

Review of effectiveness

As Accountable Officer, I also have responsibility for reviewing the effectiveness of the system of internal control. My review is informed by:

- The senior managers within the Authority who have responsibility for the development and maintenance of the internal control framework;
- The work of the internal auditors, who submit to me and the Audit Committee reports which include the Head of Internal Audit's independent and objective opinion on the adequacy and effectiveness of the Authority's

systems of internal control together with recommendations for improvement;

- Comments made by external auditors in their management letters and other reports;
- A risk register for the Authority.

The internal control of the Authority is reviewed on an ongoing basis through 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 and these are monitored by the Audit Committee.

Certificates of Assurance are provided by the Director of Business Performance and Head of Internal Audit to support my review of the system of internal control.

This is supplemented by the review performed by external audit whose findings will be reported to the Chief Executive, the Audit Committee and the Board for corrective action as appropriate.

Appropriate action is in place to address any weaknesses identified and to ensure the continuous improvement of the system.



ROISIN HALL
Chief Executive
12 June 2007

Auditor's Report

Independent auditors' report to the Risk Management Authority, the Auditor General for Scotland and the Scottish Parliament.

We have audited the financial statements of the Risk Management Authority for the year ended 31 March 2007 under the Criminal Justice (Scotland) Act 2003. These comprise the Operating Cost Statement, the Balance Sheet, the Cash Flow Statement and the related notes. These financial statements have been prepared under the accounting policies set out within them.

This report is made solely to the Risk Management Authority and to the Auditor General for Scotland in accordance with sections 21 and 22 of the Public Finance and Accountability (Scotland) Act 2000. Our audit work has been undertaken so that we might state to those two parties those matters we are required to state to them in an auditor's report and for no other purpose. In accordance with the Code of Audit Practice approved by the Auditor General for Scotland, this report is also made to the Scottish Parliament, as a body. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Risk Management Authority and the Auditor General for Scotland, for this report, or the opinions we have formed.

Respective responsibilities of the Authority, accountable officer and auditors

The Authority and accountable officer are responsible for preparing the Annual Report and the financial statements in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers. The accountable officer is also responsible for ensuring the regularity of expenditure and

receipts. These responsibilities are set out in the statement of accountable officer's responsibilities.

Our responsibility is to audit the financial statements in accordance with the relevant legal and regulatory requirements and with International Standards on Auditing (UK and Ireland) as required by the Code of Audit Practice approved by the Auditor General for Scotland.

We report our opinion as to whether the financial statements give a true and fair view and whether the financial statements and the part of the Remuneration Report to be audited have been properly prepared in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers. We also report whether in all material respects

- the expenditure and receipts shown in the financial statements were incurred or applied in accordance with any applicable enactments and guidance issued by the Scottish Ministers, the Budget (Scotland) Act covering the financial year and sections 4 to 7 of the Public Finance and Accountability (Scotland) Act 2000; and
- the sums paid out of the Scottish Consolidated Fund for the purpose of meeting the expenditure shown in the financial statements were applied in accordance with section 65 of the Scotland Act 1998.

We also report if, in our opinion, the Management Commentary is not consistent with the financial statements, if the Authority has not kept proper accounting records, if we have not received all the information and

explanations we require for our audit, or if information specified by relevant authorities regarding remuneration and other transactions is not disclosed.

We review whether the Statement on Internal Control reflects the Authority's compliance with Scottish Executive guidance. We report if, in our opinion, it does not comply with the guidance or if it is misleading or inconsistent with other information we are aware of from our audit of the financial statements. We are not required to consider, nor have we considered, whether the statements covers all risks and controls. Neither are we required to form an opinion on the effectiveness of the Authority's corporate governance procedures or its risk and control procedures.

We read the other information contained in the Annual Report and Accounts and consider whether it is consistent with the audited financial statements. This other information comprises only the Convenor's statement, Introduction, Chapters 1 to 6, and the Accounts. We consider the implications for our report if we become aware of any apparent misstatements or material inconsistencies with the financial statements. Our responsibilities do not extend to any other information.

Basis of audit opinions

We conducted our audit in accordance with the Public Finance and Accountability (Scotland) Act 2000 and International Standards on Auditing (UK and Ireland) issued by the Auditing Practices Board as required by the Code of Audit Practice approved by the Auditor General for Scotland. An audit includes examination, on a test basis, of evidence

relevant to the amounts, disclosures and regularity of expenditure and receipts included in the financial statements and the part of the Remuneration Report to be audited. It also includes an assessment of the significant estimates and judgements made by the Authority and chief executive in the preparation of the financial statements, and of whether the accounting policies are appropriate to the Authority's circumstances, consistently applied and adequately disclosed.

We planned and performed our audit so as to obtain all the information and explanations which we considered necessary in order to provide us with sufficient evidence to give reasonable assurance that the financial statements and the part of the Remuneration Report to be audited are free from material misstatement, whether caused by fraud or error, and that in all material respects the expenditure and receipts shown in the financial statements were incurred or applied in accordance with any applicable enactments and guidance issued by the Scottish Ministers. In forming our opinion we also evaluated the overall adequacy of the presentation of information in the financial statements and the part of the Remuneration Report to be audited.

Opinions

Financial statements

In our opinion:

- the financial statements give a true and fair view, in accordance with the Criminal Justice (Scotland) Act 2003 and the directions made thereunder by the Scottish Ministers, of the state of affairs of the Authority as at 31 March

2007 and the net operating cost, recognised gains and losses and cash flows for the year then ended; and

- the financial statements and the part of the Remuneration Report to be audited have been properly prepared in accordance with the Criminal Justice (Scotland) Act 2003 and directions made thereunder by the Scottish Ministers.

Regularity

In our opinion in all material respects:

- the expenditure and receipts shown in the financial statements were incurred or applied in accordance with any applicable enactments and guidance issued by the Scottish Ministers, the Budget (Scotland) Act covering the financial year and sections 4 to 7 of the Public Finance and Accountability (Scotland) Act 2000; and
- the sums paid out of the Scottish Consolidated Fund for the purpose of meeting the expenditure shown in the financial statements were applied in accordance with section 65 of the Scotland Act 1998.

KPMG LLP

KPMG LLP

*Chartered Accountants
Registered Auditor
15 June 2007*

191 West George Street
Glasgow G2 2LJ

Operating Cost Statement

for the year ended 31 March 2007

	Notes	2006-07 £'000	Restated 2005-2006 £'000
Expenditure			
Staff Costs	3	525	364
Depreciation	6	15	15
Other Operating Costs	4	402	336
Notional Costs	5	(10)	(6)
Total expenditure		932	709
Add Back of Notional Costs	5	10	(6)
Net operating cost		942	715

There were no other gains and losses.

Balance Sheet

As at 31 March 2007

	Notes	2006-07 £'000	Restated 2005-2006 £'000
Fixed Assets			
Tangible Fixed Assets	6	<u>52</u>	<u>67</u>
Current Assets			
Debtors	7	1	-
Cash and Bank	8	517	407
		518	407
Creditors: Amounts falling due within one year			
Creditors	9	<u>218</u>	<u>397</u>
Net current assets/(liabilities)		300	10
Total assets less current liabilities		352	77
Financed By:			
General Fund	10	<u>352</u>	<u>77</u>
		352	77

Signed on behalf of the Authority



Roisin Hall
Chief Executive
12 June 2007

Cash Flow Statement

For the year ended 31 March 2007

	Notes	2006-07 £'000	Restated 2005-2006 £'000
Cash flow statement			
Net cash inflow from operating activities		110	480
Capital Expenditure			
Payments to acquire tangible fixed assets	6	-	(73)
Increase in cash		110	407
Reconciliation of net operating cost to net cash inflow from operating activities			
Net operating cost		(932)	(709)
Funding		1,217	783
Notional costs	5	(10)	(6)
Depreciation	6	15	15
Decrease/(Increase) in Debtors	7	(1)	-
Increase/(Decrease) in Creditors	9	(179)	397
Net cash (outflow)/inflow from operating activities		110	480

Notes to the Accounts

For the year ended 31 March 2007

1. Accounting policies

(a) Accounting Convention

The accounts are prepared under the historical cost convention modified to account for the revaluation of fixed assets to current cost.

The Accounts meet the requirements of the Government Financial Reporting Manual and applicable accounting standards.

(b) Changes in Accounting Policy

For the financial year ending 31 March 2007, the Financial Reporting Advisory Board has agreed amendments to HM Treasury's Financial Reporting Manual ("FReM"). This has resulted in changes of accounting policy and to the format of the accounts. The changes in the accounting policy have been reflected by a prior year adjustment in line with FRS 3 "reporting financial performance". The impact of these changes is disclosed in note 2 to the financial statements.

(c) Depreciation

The threshold for capitalisation of Fixed Assets is £1,000. Fixed Assets are depreciated at rates calculated to write them down to estimated residual value on a straight line basis over their estimated useful lives as follows:

Leasehold Improvements	over 10yrs
Equipment	over 5yrs
Information Technology	over 3yrs

A full year is charged in the year of acquisition, and there is no charge in the year of disposal. All assets, with the exception of additions during the year are re-valued at the end of the financial year to current cost using appropriate indices.

Intangible fixed assets (e.g. software) are amortised in equal instalments over their estimated life of 3yrs.

(d) Government Grants

Most of the expenditure of the RMA is met from funds advanced by the Scottish Executive 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 fixed assets received from the Scottish Executive 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. Grant-in-aid for capital purposes is credited to the deferred government grant account and released to the general fund to match the expected useful lives of related assets.

(e) Operating Leases

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

2. Prior year adjustment

For the financial year ending 31 March 2007, the Financial Reporting Advisory Board ("FRAB") have agreed amendments to Government's Financial Reporting Manual ("FReM"). Grants and grants-in-aid received for revenue purposes from the Scottish Executive were previously accounted for as income. Full implementation of resource accounting required by the FReM requires that such amounts shall be considered as contributions from controlling parties giving rise to a financial interest in the residual interest of the body, and hence should be accounted for as financing. A prior year adjustment has been recognised to reflect the change in accounting policy, including:

- an operating cost statement replaces the income and expenditure account;
- cash drawn down against approved revenue funding is now credited to the general fund;
- general capital funding is now credited to the general fund rather than the government grant reserve.

The following table identifies all balances restated in these financial statements.

Description	Note	Reported in 2005-06 (£'000)	Adjustment (£'000)	Restated (£'000)
Grant-in-aid	2	710	(710)	-
Income – release of government grants		15	(15)	-
Operating surplus		10	(10)	-
Net operating cost		-	715	715
Deferred government grant reserve	10	67	(67)	-
General fund at 31 March 2006	10	10	67	77

3. Staff Costs

Authority Members	2006-07 £'000	2005-06 £'000
Salary	35	34
Social Security Costs	1	1
Total	36	35

Administrative staff	2006-07 £'000	2005-06 £'000
Wages and salaries	360	218
Social Security costs	30	19
Pension costs	70	43
Agency staff	9	7
Inward Secondment from Scottish Executive	12	42
Inward Secondment from Strathclyde Police	8	
	489	329
Total Staff Costs	525	364

Average number of employees during the year:

		No.
Authority Members	6	6
Staff	12	10

4. Other Operating Costs

	2006-07 £'000	2005-06 £'000
Accommodation	53	58
Office equipment and furniture	5	32
Research and consultancy	125	53
IT Support	24	20
Training	44	18
Legal Fees & Expenses	31	10
Supplies & Services (elec,gas,repairs,cleaning)	13	7
Stationery	5	5
Advertising	25	55
Catering and Hospitality	3	3
Expenses and Travel	23	12
Other Office Costs	33	44
Internal Audit Fee	8	9
External Audit Fee	10	10
Total	402	336

5. Notional Costs

In compliance with the Financial Reporting Manual the accounts reflect the notional cost of capital charge. (OPG balances are exempt from capital charges.)

	2006-07 £'000	2005-06 £'000
Cost of Capital Charge at 3.5%	(10)	(6)

6. Fixed Assets

	Leasehold Improvements £'000	Office Equipment £'000	IT Systems £'000	Total £'000
Cost				
Balance at 1 April 2006	38	28	16	82
Additions				
Revaluation	2	-1	-1	0
Balance at 31 March 2007	40	27	15	82
Depreciation				
Balance at 1 April 2006	4	6	5	15
Charge for year	4	6	5	15
Revaluation				
Balance at 31 March 2007	8	12	10	30
NBV at 31 March 2007	32	15	5	52
NBV at 31 March 2006	34	22	11	67

7. Debtors

	2006-07 £'000	2005-06 £'000
Other debtors	1	-

8. Cash and Bank

	2006-07 £'000	2005-06 £'000
Balance at 1 April	407	-
Movement	110	407
Balance at 31 March	517	407
The following balances at 31 March are held at:		
Office of HM Paymaster General	517	407
Commercial banks	-	-
	517	407

Balances held at the Office of HM Paymaster General are within the government's financing arrangements and are not interest bearing. £460,000 of the end year balance related to funding carried over from 2006-07 to 2007-08 to progress projects which were due to commence in 2006-07 but due to other priorities did not. These projects will be taken forward in 2007-08.

9. Creditors due within one year

	2006-07 £'000	2005-06 £'000
Trade Creditors	54	236
Other Creditors	-	-
Accruals	164	161
Total	218	397

10. Reconciliation of Movements on Government Fund

	2006-07 £'000	Restated 2005-06 £'000
Balance at 1 April as previously reported	10	-
Prior year adjustment	<u>67</u>	-
Restated balance at 1 April	77	-
Net operating costs	(942)	(715)
Funding	1,217	783
Transfers in	-	9
Balance at 31 March 07	352	77

11. Related Party Transactions

The Scottish Executive Justice Department is the sponsor department of the Risk Management Authority. The Scottish Executive 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.

12. Capital Commitments and Contingent Liabilities

There were no contracted capital commitments outstanding and not included in the balance sheet.

There were no contingent liabilities existing at the year end.

13. Commitments under Operating Leases

	31 March 2007 £'000	31 March 2006 £'000
Expiring between 2 and 5 years	38	38

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



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 member of the staff of the Scottish Ministers

Dated 10 February 2006



RMA

Working for a Safer Scotland

ity

Glossary

ACPOS Association of Chief Police Officers in Scotland

ADSW Association of Directors of Social Work

Best Value Provides a common framework for continuous improvement in public services in Scotland

B-SAFER Brief Spousal Assault Form for Evaluation of Risk (risk assessment tool)

CAPP Comprehensive Assessment of Psychopathic Personality (risk assessment tool)

CETV Cash Equivalent Transfer Value

CJA Community Justice Authority

Criminal justice system – A general term referring to the various authorities involved in the investigation of crime and the legal proceedings and punishments that follow.

CS Civil Service

Dangerous offender A person who is likely to cause members of the public serious harm.

FoI Freedom of Information

FRAB Financial Reporting Advisory Board

FReM Government's Financial Reporting Manual

HCR 20 Historical Clinical Risk – 20 (risk assessment tool)

High risk offender An offender posing a significant risk of causing personal harm to members of the public.

IPDE International Personality Disorder Examination (risk assessment tool)

ISIS Scottish Executive Information Systems and Information Services Division

LSCMI Level of Service Case Management Inventory

LSI-R Level of Service Inventory

MAPPA Multi-Agency Public Protection Arrangements

MHS Ltd Multi Health Systems Ltd

NAB National Advisory Body on Offender Management

NOMS National Offender Management Service

NOTA National Organisation for the Treatment of Abusers

OLR Order for Lifelong Restriction – a sentence introduced in June 2006 (in Scotland) that provides for the lifelong supervision of high risk violent and sexual offenders and will allow for a greater degree of intensive supervision than is the current norm.

PCL-R Psychopathy Checklist – Revised (risk assessment tool)

Prince 2 Project management method

PRISM Promoting Risk Intervention by Situational Management Assessment Tool

RAO Risk Assessment Order. Order which will be made by the court, where an offender convicted on indictment may present a substantial and continuing risk to public safety.

RAR Risk Assessment Report - will be prepared by an RMA accredited risk assessor to inform the High Court's judgement on whether an Order for Lifelong Restriction should be imposed.

RATED Risk Assessment Tools Evaluation Directory

Risk of serious harm is interpreted as death or damage which is life threatening and /or traumatic and from which recovery is usually difficult or incomplete.

RM2000 Risk Matrix 2000 (risk assessment tool)

RMA Risk Management Authority

RMO Responsible Medical Officer

RMP Risk Management Plan – is made as a result of an Order for Lifelong Restriction being imposed on an offender. The RMP sets out an assessment of risk and the measures to be taken for the minimisation of risk and how such measures are to be co-ordinated.

RSO Registered Sex Offender

RSVP Risk of Sexual Violence Protocol (risk assessment tool)

SAM Risk Assessment and Management of Stalkers (risk assessment tool)

SARA Spousal Assault Risk Assessment Guide (risk assessment tool)

SARN Structured Assessment of Risk and Needs (risk assessment tool)

SAVRY Structured Assessment of Violence Risk in Youth (risk assessment tool)

SE Scottish Executive

SORAM Sex Offender Risk Assessment and Management Group

SPFM Scottish Public Finance Manual

ViSOR Violent and Sex Offender Register



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