

**Police Crime Commissioner for
Gloucestershire
&
Gloucestershire Constabulary**

V3.2 – May 2017



Risk Management Policy and Strategy

Gloucestershire Police & Crime Commissioner and Gloucestershire Constabulary
JOINT INTEGRATED RISK MANAGEMENT POLICY STATEMENT AND STRATEGY

Introduction

Gloucestershire Police & Crime Commissioner and the Constabulary (Commissioner and Constabulary) are required to deliver a range of essential services within the context of human rights and public scrutiny. Risk management is fundamental to every aspect of the corporate business and to every individual. Furthermore it supports the concept of corporate governance and provides a firm foundation for a process of internal control.

We are fully committed to effective risk management and see it as part of our responsibility to deliver an effective public service to the communities within Gloucestershire and to deliver the Constabulary's purpose as an organisation 'To keep people safe from harm and to inspire the highest levels of public confidence in us, their local police'

Policy Statement

Commissioner and Constabulary recognise that Risk Management is one of the key principles of Corporate Governance, which ensures a sound internal control environment and the annual Governance Statement on Internal Control.

Commissioner and Constabulary use a definition of risk, which is 'An uncertain event or set of events which, should it occur, will have an effect on the achievement of objectives'.

Accordingly risk management is the systematic application of principles, approach and processes to the tasks of identifying and assessing risks, and then planning and implementing risk responses. This provides a disciplined environment for proactive decision-making.

By managing our risks effectively we will be in a stronger position to deliver our purpose 'To keep people safe from harm and to inspire the highest levels of public confidence in us, their local police'

Risk Management is something that we do, often subconsciously, as part of our daily lives, governing the decisions we make and the outcomes we see. How we manage risk, depends to a large extent on how we perceive it. Everyone has a different perception of what constitutes a risk, often based on past experiences. What one person may see as acceptable may be totally unacceptable to another person.

Successful Risk Management recognises that every activity the Police undertake involves risk. Where risk cannot be avoided, it must be managed. Risk Management is about assessing & controlling risk and only undertaking activities where risk levels are proportionate.

As an organisation, with a range of different stakeholders, each with differing needs and expectations, this can be a challenge. We must ensure that the decisions we take reflect a consideration of the potential implications for all our stakeholders. We must decide whether the benefits of taking our actions outweigh the risks.

Risk Management therefore needs to be taken into the heart of the both the Commissioner and Constabulary. For this to be done successfully it needs to be structured and developed in a way that fits the culture of our organisation. We need to have the structures and processes in place to ensure the risks and opportunities of daily activity are identified, assessed and addressed in a standard way. We seek to pro-actively manage risk. This will allow us not only to meet the needs of the community today, but also be prepared to meet future challenges.

Risk Management Strategy

This strategy outlines how the Commissioner and Constabulary is taking on its responsibility to manage risks and opportunities, as outlined in the Risk Management Policy statement, using a structured and focused approach.

Delivery of the Strategic Aim/Implementation

Risk management is a continuous cycle. An effective framework identifies, evaluates, controls, monitors and then re-evaluates risk in a structured manner such that risks are tolerated, treated/ terminated, or transferred. The cyclical nature of this process means that it will re-occur as often as necessary during the life of a risk and involves:

- a). Risk Identification. All activity undertaken across the organisation may include an element of risk, which must be subject to risk management.
- b). Risk Evaluation. All risks must be subject to a recognised form of risk evaluation or appropriate alternative.
- c). Risk Control. Where the evaluation identifies a recordable risk, it must be made the subject of an appropriate response. Both must be recorded. An appropriate response will result in each risk being tolerated, treated, terminated, or transferred.
- d). Risk Review. The framework for delivery requires an appropriate monitor and review process. Where possible this will utilise existing processes and be developed with the minimum of bureaucracy.

1.1 Details of how this strategy will be delivered are contained in the Risk Management Framework. It sets out:

- What is meant by risk management

- Why we need a risk management strategy
- How the Commissioner and Constabulary will develop risk management and integrate risk management into the culture of the organisation
- An overview of the risk management process
- How risk management will link to existing processes
- Ensure both the Commissioner & Constabulary manage risks and opportunities at a Strategic, Partnership, Project and Operational level;
- Ensure that the Constabulary continues to meet all statutory and best practice requirements in relation to Risk Management;
- Ensure that Risk Management continues to be a key and effective contributor to Corporate Governance and the annual Governance Statement;
- To support well thought-through risk taking;
- Embed risk management through the ownership and management of risk as part of all business planning and decision making, our activities and our public and private partnerships;
- Anticipate and respond to changing external and internal pressures so there are fewer surprises; and
- Ensure that all employees and partners understand and contribute to the Commissioner and Constabulary's approach to Risk Management.

The Objectives of the Strategy are to:

Ensure that policies and practices are put in place that will work to remove, lessen and/or trigger contingencies to limit the amount of damage to the organisation's corporate integrity and reputation. Good risk management will also help the Commissioner and Constabulary to explore and take up opportunities as they are identified. Prevent injury, damage and losses and reduce the cost of risk.

To support our purpose, we have identified seven strategic objectives under our four key areas:

Our seven strategic objectives



Effective Risk Management supports these areas of strategic focus by:

- Establishing clear roles, responsibilities and reporting lines within the Commissioner and Constabulary for risk management.
- Creating and maintaining a Strategic Risk Register aligned to the Commissioner and Constabulary's purpose and objectives.
- Implement Risk Mitigation Plans for each risk depending upon agreed tolerance levels.
- Encourage all staff to develop and maintain a risk management ethic and to report concerns accordingly.

What type of risks do we face?

The main types of risks faced by the Commissioner and Constabulary fall into three categories: strategic, operational and project risks.

Strategic Risks These concern the medium to long-term strategy objectives of the Commissioner and Constabulary.

Operational Risks These concern the day-to-day issues and risks that could have an immediate to short-term effect on the ability of

the Commissioner and Constabulary to carry out its normal policing functions, or that occur as a result of carrying out its functions.

Project Risks

These risks that need to be considered prior to the commencement of *partnerships* and at all stages throughout the duration of a *project*.

Uncertain events or situations can adversely affect a partnership arrangement, usually in terms of cost, schedule and/or product/service quality.

An overview of the Risk Management process

Clarifying our outcomes/objectives

This is straight forward. Establish what the priority is aiming to achieve and link these outcomes/objectives with what the organisation is aiming to achieve.

Identifying the risks

Once the outcomes/objectives/benefits have been identified, the next standard is to identify the key risks that can hinder, or opportunities that can enhance the achievement of those outcomes/objectives. To help you identify your risks you could run a workshop.

Assessing/Evaluating the risks

Once all the possible key risks and/or opportunities have been identified, it is then necessary to analyse and evaluate the risks so that you may distinguish between minor acceptable risks from major risks.

What controls are already in place?

A document should list the key controls, systems and processes i.e. the policies/actions/measures that you currently have in place to manage the inherent risks identified. This process also evidences control.

Re-assess the risk

Assess your risks after your existing mitigations/controls have been evaluated. This will give you a Residual Risk score and overall risk rating level.

Are there any further actions required?

Determine if any actions are required to reduce further the risks identified and nominate a risk owner who will take responsibility to ensure that these actions are addressed. (It may be that no further actions are required as the risk is acceptable subject to the current control measures that are remaining in the Constabulary are valid).

What do I do if I want to accept one or more of the risks?

Risk tolerance

Before deciding what action to take to further mitigate risks you must consider the amount of risk you are prepared to accept/tolerate, bearing in mind there will always be competing risks, for example financial risk via environmental or reputational risk.

To view more information on the risk management process, select the attached link - [Governance and Compliance](#)

Linking the risk management process into the business

Review / Reporting & Escalating Risk

Constabulary governance is being achieved through strategic level boards aligned to directorate portfolios – and risk management and reporting should run as a central theme in each of those meetings.

The Boards need to ensure they are discussing risks in relation to their portfolios - and thus be able to escalate potential strategic risks to the Risk Review Group.

The Executive Board ensure that decision making is supported by risk management; advising the Chief Constable (Senior Risk Owner) on risk management and fostering a risk management culture within the organisation that emphasises and demonstrates the benefits of a risk based approach to internal control and management of the organisation. It is through these forums that decisions will be made to accept escalated risks duly identified, in line with the Constabulary's risk appetite and tolerance levels - supported by the Constabulary's Senior Risk Adviser.

High scoring risks will be monitored more frequently to ensure implications can be identified at an early stage - and these will be reported by exception to either the Chief Constable's Executive Board.

Ownership & Review

This strategy is owned by the Commissioner and Chief Constable and will be reviewed together with the associated Risk Management Framework, by the Risk Review Group on a periodic basis.

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[Risk Management Home Page](#)

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