

# **SUFFOLK POLICE AUTHORITY**

## **RISK MANAGEMENT STRATEGY**

**incorporating**

### **STATEMENT OF RESPONSIBILITIES**

#### **POLICY STATEMENT**

**The Authority will seek to identify, analyse and prioritise the risks it faces. It will seek to manage and control risks in order to maximise the quality and efficiency of its service provision and to uphold its reputation.**

**The Strategy recognises the importance of the Authority working closely with the Constabulary in this respect. For the purposes of this document, the term Authority will also include the Constabulary, where appropriate.**

#### **1. AUTHORITY**

- (a) approving a statement of the Authority's Risk Management Strategy and subsequent revisions, on the recommendation of the Monitoring and Audit Committee.
- (b) receiving an annual report on risk management activity, including copies of the Authority and Constabulary Strategic Risk Registers, from the Monitoring and Audit Committee in April of each year.

#### **2. CHIEF EXECUTIVE**

- (a) overseeing the corporate approach to risk management.
- (b) maintaining the Authority Risk Register:
  - (i) additions/deletions/amendments to risks, assessments, action plans and review dates, in consultation with the Risk Owner;
  - (ii) actioning Committee requests to include new risks in consultation with the Risk Owner;
  - (iii) circulating revised copies of the Authority Risk Register to nominated officers and risk owners as necessary.
- (c) ensuring that all service deliverers (including volunteers, contractors and other partners) are made aware of their responsibility for risk management and the mechanisms for feeding concerns into the Authority's formal management processes, through inclusion in contract documents, service level agreements etc.

- (d) nominating Authority staff to attend the Risk Management Group and specific risk management project groups as appropriate.
- (e) nominating appropriate Authority staff for risk management training, as identified through the performance review process.
- (f) submitting appropriate risk management proposals to the Risk Management Group.
- (g) on an annual basis, arranging for an audit of compliance <sup>1</sup> with the risk management strategy across the Authority and Constabulary with a view to ensuring that all elements of the strategy are complied with; and reporting upon compliance to the Monitoring and Audit Committee before the end of each financial year.
- (h) ensuring that all key reports emanating from the Authority staff team, policy decisions and operational changes include, where appropriate, an adequate assessment of risks and how they will be managed.

### **3. TREASURER**

- (a) leading the work of the Risk Management Group.
- (b) reporting to the Monitoring and Audit Committee on risk management activity throughout the Authority as appropriate, but at least annually.

### **4. CHIEF CONSTABLE**

- (a) maintaining the Risk Register in relation to the Constabulary, including as a result of decisions made by the Authority or its Committees.
- (b) ensuring compliance with Constabulary risk management standards.
- (c) ensuring that all service deliverers (including volunteers, contractors and other partners) are made aware of their responsibility for risk management and the mechanisms for feeding concerns into the Constabulary's formal management processes through contract documents, service level agreements etc.
- (d) ensuring that all key reports emanating from the Constabulary, policy decisions and operational changes include, where appropriate, an adequate assessment of risks and how they will be managed.
- (e) nominating Constabulary staff to attend the Risk Management Group and specific risk management project groups as appropriate.
- (f) nominating appropriate Constabulary staff for risk management training.
- (g) submitting appropriate risk management proposals to the Risk Management Group.

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<sup>1</sup> Normally undertaken by arrangement with the internal auditors

- (h) reporting the key risks facing the Constabulary in the coming six months to the Monitoring and Audit Committee, each April and October.

## **5. MONITORING AND AUDIT COMMITTEE**

- (a) considering arrangements for the identification, assessment and management of risk.
- (b) receiving progress reports from the Risk Management Group.
- (c) receiving an annual assessment from the Chief Executive on compliance with the Risk Management Strategy.
- (d) receiving reports from the Treasurer on risk management activity throughout the Authority.
- (e) receiving reports from the Chief Constable on the key risks facing the Constabulary in the coming six months, each April and October.
- (f) through reports received (a) to (d), preparing an annual report on risk management to the Authority, including copies of the Authority and Constabulary Strategic Risk Registers.
- (g) reviewing the annual statement on the Authority's system of internal controls.

## **6. REPORT WRITERS**

- (a) decisions by the Authority and its Committees need to be taken in the full knowledge of all relevant risks. Accordingly, all reports must include an assessment of the risks associated with the content of the report and how they are to be managed or mitigated. If there are no risks then this should be clearly stated. In the production of the report the originator should examine the Authority's Risk Register in order to establish whether there will be any impact upon the entries contained within the Register as a result of the report content. If any changes are foreseen, the report should contain sufficient information to enable the Register to be updated (i.e. to complete or amend the risk type, risk, likelihood, impact, risk classification, risk owner, action plan and review date fields). The proposed additions or changes to the risk register should be specified.
- (b) reports should, where appropriate, give members options, and clearly explain the costs and effects on risks of the different options.

## **7. COMMITTEES**

- (a) when receiving and considering reports, committees should include assessment of risks, options and costs as part of their decision making.
- (b) when deciding upon items to be included in the risk register, the committee must provide sufficient detail to enable the register to be updated i.e. the completion or amendment of the risk type, risk, likelihood, impact, risk classification, risk owner, action plan and review date fields.
- (c) at regular intervals, normally every six months, the Authority and its committees should review those items in the risk register that are within their responsibility and agree any amendments as necessary.

## **8. RISK MANAGEMENT GROUP**

- (a) reporting to Monitoring and Audit Committee on progress with regard to risk management, normally every six months.
- (b) co-ordination of risk management across the Authority, including where appropriate links with external partners and other bodies.
- (c) ensuring that appropriate advice and training on risk management is available for all members and staff.
- (d) ensuring that risk management records and procedures are properly maintained, decisions are recorded, and that clear audit trails exist in order to ensure openness and accountability.
- (e) establishing risk management project teams to carry out specific risk management initiatives .
- (f) ensuring that the resources needed to deliver effective risk management are kept under review.
- (g) giving initial consideration to risk management initiatives and submitting investment proposals to the Authority's strategic planning process.
- (h) development of best practice on risk management by reference to risk management standards and comparisons with peer authorities.
- (i) reviewing, at least annually, this Strategy and making recommendations for amendment as necessary.

## **9. RISK OWNERS**

- (a) receiving updates of entries in the Risk Register from the Chief Executive, taking ownership of the risk and ensuring that the action plan is addressed. For example, the Chair of a Committee should ensure that the Schedule of Future Business includes consideration of risks within their area of responsibility.

## **10. INTERNAL AUDIT**

Carry out a review (on behalf of the Chief Executive – see 2 (g)), normally annually, that includes:

- (a) reviewing the content and scope of the Risk Registers.
- (b) reviewing the adequacy of procedures to assess, review and respond to risks.
- (c) reviewing the effectiveness of internal controls.
- (d) making recommendations as appropriate.

## **11. ALL EMPLOYEES**

- (a) maintaining an awareness of risk and feeding this into the formal management and reporting processes.
- (b) supporting and participating in risk management activities.

## **12. MEMBERS SERVING IN PARTNERSHIPS**

- (a) maintaining an awareness of risk in relation to the partnership as it impacts on the Authority.
- (b) reporting any material risk in relation to the partnership and where it may impact upon the Authority to the Chief Executive for consideration of action.

Christopher Jackson  
Chief Executive

Amended 22 January 2010