RISK MANAGEMENT

Owning Department: Strategic Business and Operational Services (SBOS)

Department SPOC: Risk and Compliance Manager

Risk Rating: Low

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Legal Basis

Legislation specific to the subject of this policy document:

- None identified

Other relevant legislation which you must check this document against (required by law)

- Human Rights Act 1998 (in particular A.14 – Prohibition of discrimination)
- Equality Act 2010
- General Data Protection Regulation (GDPR) and Data Protection Act 2018
- The Civil Contingencies Act 2004

Other documentation which you must check this document against:

- College of Policing – Code of Ethics
- Norfolk and Suffolk Constabularies' Standards of Professional Behaviour
- College of Policing – Authorised Professional Practice
- Information Management Policy
- Information Risk Management Policy
- Business Continuity Policy
- Health and Safety Policy
- 'Orange Book - Management of Risk: Principles and Concepts' guidance produced by the Government Finance Section

1. Introduction

1.1 This policy defines the aims and objectives for the management of organisational risk across Norfolk Constabulary and Suffolk Constabulary (from here on known as 'the Constabularies').

1.2 A risk management policy is required to promote procedures and practices required to successfully identify and manage the significant risks that may affect the Constabularies' ability to achieve their overall priorities and deliver against strategic objectives.

1.3 The policy should be read in conjunction with the relevant procedure(s).

2. Aims

2.1 The Constabularies have a responsibility to ensure there is an effective framework in place for the identification and management of risk. The aim is to reduce the frequency of risk events occurring and to mitigate the impact they may have on service delivery and strategic objectives.

2.2 The main objectives of this policy are to:

- Integrate risk management into the organisational culture to facilitate the collaborative identification and scrutiny of risks, underpinning governance and leadership, and supporting decision making.
- Manage risk in accordance with best practice and national guidance, including an aspiration to develop a framework and fulfil the key principles within the 'Orange Book: Management of Risk – Principles and Concepts' guidance produced by the Government Finance Section (see Fig.1 below).
- Preserve and enhance the effectiveness of operational and organisational service delivery.

Fig.1 Orange Book Risk Management Framework

3. Statement of Policy

3.1 The Constabularies' joint risk management policy will provide a framework for control that enhances strategic planning and prioritisation, helps support the delivery of strategic plans, priorities and objectives (both national and

local, and in line with organisational visions and values), analyse threats, mitigate potential impact on service delivery, protect assets, and make best use of resources. This helps ensure effective service delivery, support better informed decision making, and improve stakeholder confidence and therefore legitimacy. The integration of risk management with Force Management Statements strengthens both processes and outcomes, enhances strategic planning and prioritisation, and risk identification and horizon scanning.

3.2 The risk management procedure document that supports the delivery of this policy will cover risk identification, assessment, appetite and oversight, etc.

3.3 This policy and its associated procedure have been formally agreed via the approved policy development/review process. It will be maintained by the Risk and Compliance Manager in conjunction with the Central Policy Unit.

3.4 The policy and its associated procedure are intended to promote equality, eliminate unlawful discrimination and actively promote good relations regardless of age, disability, gender reassignment, marriage or civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation, economic or family status.

3.5 Managers have a responsibility to ensure this policy and its associated procedure are applied fairly, and unless otherwise stated, all policies and procedures are non-contractual.

4. Oversight and Governance

4.1 The Risk and Compliance Manager provides day to day oversight and scrutiny to ensure that the procedure is adhered to. The Risk and Compliance Manager reports to the Corporate Governance Lead who reports to the PMO and Corporate Governance Manager.

4.2 Strategic Risk Registers (SRRs) are owned by Chief Officers and reviewed by the Office of the Police and Crime Commissioners (OPCCs). The SRRs are submitted to the Norfolk Audit Committee and the Suffolk Accountability and Performance Panel for independent assurance.

4.3 The OPCCs and Chief Constables are also responsible for putting in place proper arrangements for the governance of their affairs and facilitating the exercise of their functions, which includes ensuring a sound system of governance (incorporating the system of internal control) is maintained through the year and that arrangements are in place for the management of risk. The annual governance statements include reference to this requirement, and this risk management policy.

4.4 The risk management function and the associated policies and procedure(s) are audited annually as part of the framework of internal controls.

4.5 The most significant risks within the Risks and Issue Logs are reported to chief officer meetings.

5. Integration and Collaboration

5.1 Risk management should be an integral part of organisational decision-making to help achieve objectives. It should be collaborative and informed by the best available information and expertise available. (Orange Book)

5.2 The assessment and management of opportunity and risk should be an embedded part of:

- setting strategy and plans
- evaluating options and delivering programmes, projects or policy initiatives
- prioritising resources
- supporting efficient and effective operations
- managing performance
- managing tangible and intangible assets
- delivering improved outcomes

5.3 The accounting officer, supported by senior management, should ensure that risks are transparent and considered as an integral part of appraising options, evaluating alternatives and making informed decisions.

5.4 Risk management should draw on the knowledge and views of internal and external experts and stakeholders. Effective relationships and partnership working internally and externally should be used to gain a broader and mutual understanding of risk.

5.5 Those assessing and managing risks should consult with appropriate external and internal stakeholders to facilitate the factual, timely, relevant, accurate sharing of information and evidence.

5.6 The Risk and Compliance Manager meets with the Business Continuity Manager on a bi-monthly basis.

5.7 Internal commands / departments are consulted via the Force Management Statement (FMS) evergreen approach, which includes identification of risks through horizon scanning. This consultation is focused on demand and resourcing levels, and the ability to meet current and future demand.

5.8 Partner agencies are also consulted on an annual basis to inform the FMS, and the Corporate Governance Team's horizon scanning processes look to identify issues in the partnership arena.

5.9 The constabularies are members of the South East and Eastern Region Police Risk Group (SEERPRG). The Risk and Compliance Manager attends the quarterly Risk Management Forum.

5.10 The SRRs, FMS and Risk and Issue Logs (R&I Logs) are considered during the annual Outcome Based Budgeting (OBB) process. The Risk and Compliance Manager and the Corporate Governance Lead also review the OBB submissions and check for consistency.

5.11 The Risk and Compliance Manager checks the Transformational Change Board submissions against the SRRs and R&I Logs to assess if new work requests, etc. are mitigating any current risks.

5.12 The National Strategic Risk Assessment is assessed for the level of risk by the respective Local Resilience Forums and then the Constabularies' preparedness is assessed by the NSRA Working Group. Any gaps are raised with chief officers for awareness and decision making.

6. Applicability

6.1 This policy applies to all officers and staff within both Norfolk and Suffolk Constabularies.

6.2 All policies and procedures are binding on all members of the organisations and individuals who are accountable for their actions. Non-compliance may render individuals subject to disciplinary action.

7. Roles and Responsibilities

7.1 The risk governance and management roles and responsibilities for the Constabularies are set out below:

Role Title	**Responsibilities**
Chief Officer Teams	Provide strategic oversight, scrutiny, direction and decision-making regarding risk and risk management. Drives the culture of risk management and sets the tone from the top and the level of risk to be accepted.
Executive Lead(s)	Risk Management forms part of the Corporate Governance Team within the Strategic, Business and Operational Services (SBOS) department. SBOS reports into the Deputy Chief Constable's portfolios and as such they are the Executive / Chief Officer leads.
Accounting Officer	The Assistant Chief Officer (ACO) role maintains responsibility for the governance of risk management. The role ensures that the expected values and behaviours are communicated and embedded at all levels within the organisation. The role is supported by the Assurance Committee(s) who independently monitor the quality of the information provided.

Role Title	Responsibilities
Norfolk Audit Committee	Reviews the Norfolk Constabulary Strategic Risk Register and provides oversight and scrutiny. The committee provides independent advice and recommendation to the Office of the Police and Crime Commissioner and Chief Constable on the adequacy of the governance and risk management frameworks, the internal control environment and financial reporting thereby helping to ensure efficient and effective assurance arrangements are in place.
Suffolk OPCC Accountability and Performance Panel	Reviews the Suffolk Constabulary Strategic Risk Register and provides oversight and scrutiny. Holds the Chief Constable to account and enables issues to be discussed and where appropriate make decisions in public. It reviews the Constabulary's strategic level risk register on a regular basis and ensures the Chief Constable maintains an appropriate risk management strategy policy for the Constabulary.
Managers	Ensure organisational risks are discussed and updated as appropriate at Senior Leadership Team level. Ensure officers and staff within their commands/departments are aware of, and adhere to, the risk management policy and foster a culture where organisational risks are identified, reviewed escalated and managed in a timely fashion, and in accordance with this policy and applicable procedure(s).
Officers and Staff	Adhere to the risk management policy and procedure(s) and maintain an awareness of organisational risk when undertaking everyday work. This should include the identification and referral of any new or emerging organisational risks to an appropriate line manager, and support for any activities put in place to mitigate risk.
Risk and Compliance Manager	Responsible for the planning, design, review and maintenance of the risk management framework. Acting as the organisation's subject matter expert, developing capability by aligning risk management and FMS processes to help steer organisational priorities. Day to day risk management activities to support the Constabularies manage organisational risk, continuously improving risk management policy, procedure, strategy and guidance.
Internal Audit	Provides an independent and objective assessment of the effectiveness of the Constabularies' risk management framework and ensures that internal audit activity is focussed on key risk areas.

8. Definitions

8.1 Definitions are used to explain terms used within the policy.

Term	Definition
Risk	A problem, uncertainty or event which may happen which could negatively impact on the achievement of organisational objectives. Risk is usually expressed in terms of causes, potential effects, and their consequences.
Issue	An event that has happened and now requires management action, or a risk that has come to fruition where you can no longer stop the impact.
Risk Management Framework	The sum of all risk related activities. An overarching term that encompasses the set of activities focused on, and designed to co-ordinate and manage, organisational risk within the Constabularies. It enables the Constabularies to identify and manage the uncertainties faced and systematically anticipate and prepare successful responses, thus exercising internal control. The risk management framework supports the consistent and robust identification and management of opportunities and risks within desired levels across an organisation, supporting openness, challenge, innovation and excellence in the achievement of objectives.
Oversight of Risk	The process of overseeing, scrutinising and evaluating the effectiveness of the organisation's risk management practices and risks.
Orange Book - Management of Risk: Principles and Concepts	This sets out a principles-based approach that provides flexibility and judgement in the design, implementation and operation of risk management, informed by relevant standards and good practice. It aims to help embed risk management as a routine part of how government organisations operate.
Force Management Statement	A detailed self-assessment that chief constables are required to prepare and submit to His Majesty's Inspectorate of Constabulary Fire and Rescue Services. An FMS is centred around a police force assessing its short to medium term future demand, and then stating how that demand might be met or managed.
Annual Governance Statements	The Annual Governance Statements explain how the Police and Crime Commissioner and Chief Constable have complied with the arrangements for governance

	set out within their respective Codes of Corporate Governance and the CIPFA Financial Management Code. The Codes give clarity to the way the Police and Crime Commissioner and Chief Constable govern, and sets out the frameworks that are in place to support the overall arrangements for fulfilling the Police and Crime Commissioner's and Chief Constable's functions.

8.2 Further definitions included in the risk management process are detailed in the procedure document.