



*****Risk Management Framework*****

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What are the Policing Principles?

- Accountability Fairness Honesty
- Integrity Leadership Objectivity
- Openness Respect Selflessness

1. Background

Surrey Police have made in year changes to the risk management framework, that officially went 'live' for Surrey in December with the introduction of the new joint risk management platform. Sussex, Joint Risks, Change Delivery and Strategic Governance will be on-boarded during January. This platform will deliver one holistic view of risks, issues and recommendations* for both Forces.

*recommendations will include any from statutory, regulatory, or commissioned bodies.

2. Key Framework Changes

Within the new risk management framework, a number of new mechanisms have been put into place, which include:

- Risk Management Champion Network
- Risk Management Training Package (all Champions have received training)
- Risk Assurance Days (Oct/Nov 2021)
- Assurance reporting – i.e. exception reporting via the new platform
- New risk dashboards for owners
- Ability to 'split' risks for owners to assign mitigations across Force/Depts
- Board reporting built into the system (to view risks that may span across multiple boards i.e. information security, the SIRO may require sight of information risks being managed by another department).

The framework will be officially published once all stakeholders have been on boarded to the new system, however, has been ratified ahead via the Organisational Reassurance Board (Sept 2021) in readiness.

3. Next Steps

Following the whole system launch, the framework will be published. Corporate Development (CDD) across both Forces will transition to an advisory and monitoring and reporting function, with the risks being managed by the respective owners.

As part of the framework a risk maturity assessment will be conducted (by CDD) to baseline Surrey's performance in risk management against the framework. This is currently scheduled for the summer of 2022, to allow for sufficient adoption time.

This will be followed and will inform future Risk Assurance days, the purpose of which are essentially three fold, to ensure our DCC has been sufficiently sighted on risks not presented at ORB, to offer advice and assistance in risk management and mitigation and to baseline risks in the context of the wider organisation.

4. Decision[s] Required

None, this paper is for information only.

5. Attachments / Background Papers

Joint Risk Management Strategy (Draft)

Joint Risk Management Policy (Draft)

DRAFT



Risk Management Policy replacing individual Surrey Policy and Sussex police policy 1049/2020

Abstract

Supporting Documents/Procedures

- [Risks, Issues and Recommendation management system](#)
- [Risk Management Strategy](#)
- [Risk Management Training Guide](#)

This policy details how organisational risks identified to Surrey Police and Sussex Police, (hereafter referred to as the Forces) from both internal and external sources, will be effectively managed by the Forces.

Policy

1. Introduction

- 1.1 This policy is required to ensure that organisational risks to both Forces are recorded and managed effectively. The aim is to reduce the frequency of risk events occurring and to mitigate the impact they may have on the services provided and objectives the Forces have set.
- 1.2 Organisational risk management is about identifying threats to the achievement of the Forces' organisational objectives and their regional and national responsibilities. These include a wide variety of actual or possible events or consequences that have the potential to threaten the performance, reputation or financial position of the organisations; the safety of staff or the wider public or the ability to comply with legislation or national requirements.
- 1.3 The Risk Management Policy and Risk Management Strategy (see Appendix A [add link](#)) are key elements of the governance framework of both Forces.
- 1.4 The main objectives of this policy are to:
 - Integrate risk management into the organisational culture of both Forces in order to facilitate the identification and scrutiny of the most significant risks;
 - Manage risk in accordance with best practice and national guidance;
 - Preserve and enhance the effectiveness of service delivery.

2. Scope

- 2.1 This policy details the process for recording and managing organisational/business risks, current issues and recommendations identified by external bodies. It does not include those operational risks which are managed via the Control Strategy, using the National Intelligence Model (NIM) processes.

2.2 Everyone within each Force (see 2.1 of procedure for definition) has a responsibility to identify organisational risks which should be brought to the attention of line managers and then submitted to senior management for assessment.

2.3 “Organisational risk’ is defined, as:

“Any actual or possible event or series of consequences the impact of which on either Force and/or Police and Crime Commissioners (PCCs) has the potential to threaten the performance, reputation, or financial position of either of these organisations, the safety of their staff or the wider public, or their ability to comply with legislation or national requirements.”

3. Policy Statement

3.1 The Forces are committed to ensuring organisational risks are identified, managed and scrutinised to maintain and enhance the effectiveness of service delivery. The Chief Constable and the PCC for each Force are jointly responsible for the management of risk through an agreed strategy and process. The PCC for each Force has responsibility for maintaining a strategic oversight of their respective Office of the Police & Crime Commissioner (OPCC) and Force risks and risk management processes.

Procedure

1. Introduction

1.1 The aim of risk management is to proactively identify and assess organisational risks and to determine and implement an appropriate response in an informed and controlled manner. This procedure deals exclusively with managing “organisational risks” rather than tactical or operational risks (for example risk assessments in relation to police operations, health and safety risk assessments or custody risk assessments).

1.2 In managing risks, the following principles will be adopted:

- Assessment of organisational risks will use a consistent, corporate methodology;
- The response will be proportionate; that is the cost and likely effectiveness of potential control measures will be weighed against the probability of the risk event occurring and the likely scale of impact;
- In some cases, no control action will be appropriate and the risk will be tolerated, subject to ongoing monitoring and periodic re-evaluation of probability and impact.

1.3 Both Forces recognise that risks need to be managed, rather than avoided, and that consideration of risks is part of the decision making process.

1.4 Responsible and informed risk-taking in the interests of achieving the strategic objectives of the Forces will be supported, subject to appropriate action to mitigate risks where possible. For the Force Risk Management Strategy please refer to Appendix A [\(add link\)](#).

2. Risk Identification

2.1 A senior officer or member of a management team is most likely to identify an organisational risk, although it is the responsibility of all members of both organisations to identify a risk. A member of Surrey Police or Sussex Police includes, but is not limited to, officers (including special constables), police staff, contractors, and those on work placements/secondment/work experience.

2.2 Risks may be identified that are specific to, and will only affect, a department or division or they may be risks that could affect the whole organisation and are at a strategic level. (For further guidance on the different levels of risk see Appendix A and B - [add links](#)).

2.3 Risks may be identified that may only affect one Force or they may be relevant to both Forces.

- 2.4 Risks should always be raised via the nominated risk coordinator for a division/department who will ensure that the risk is correctly described and check if it is already recorded on the system.
- 2.5 There is a specific requirement to identify the “cause” and “effect” of each risk identified. Examples of typical phrasing is given below:

Expressing risks – examples of typical phrasing		
Impact	Cause/Consequence/Harm	Event
.....will occur	If.....happens, as a result of	Loss to...
		Failure to...
		Lack of
		Partnership with....
		Opportunities to.....

- 2.6 The risk coordinator will raise and review strategic and/or divisional/departmental risks with their senior management teams and ensure that the risk management system accurately reflects the latest status of the risks and the correct classification: department or strategic level risk; joint or single force risk as agreed by the senior management team.
- 2.7 New strategic/force-wide risks should be brought to the attention of the staff officer for the chief officer who has responsibility for the relevant portfolio area.
- 2.8 Risks will be scored using the risk matrix detailed in Appendix A ([add link](#)) which allows assessment of probability and impact.
- 2.9 The Corporate Development Departments of both Forces will ensure that relevant new risks above the score of 10 are brought to the attention of the Organisational Reassurance Boards (ORB) for each Force.
- 2.10 Determining a critical risk can be subjective but with the correct application of the risk matrix the risk score will provide an effective basis on which to decide whether the risk should be escalated for chief officer meeting consideration. This will be determined by the DCCs at the ORB meetings who will confirm organisational risks requiring escalation.

3. Issues

- 3.1 The risk management system has the capability to record and monitor current issues as well as future risks.
- 3.2 An issue is defined as something that is live and currently being faced. A risk is a potential issue, one that can be foreseen and prevented, or its impact lessened by planned mitigations.
- 3.3 Issues will be managed using the same procedure as for risks, as set out above for risk identification.

4. Recommendations

- 4.1 The risk management system has the capability to record and monitor recommendations.
- 4.2 All recommendations that have been identified by external bodies, such as the Independent Office for Police Conduct (IOPC), Her Majesty’s Inspectorate of Constabulary and Fire and Rescue Service (HMICFRS), internal auditors etc. are required to be recorded on the system if they relate to Sussex Police. (N.B. Introduction of this requirement will be considered in due course for those that relate to Surrey Police).

5. Risk Management

- 5.1 All organisational risks should be entered on the risk management system, and an appropriate officer/member of police staff (the owner) assigned who will be responsible for controlling/mitigating the

risk. (N.B. access to the risk management system is restricted to senior officers and managers and individuals defined as risk owners, risk control owners or risk co-ordinators).

5.2 Where a risk cannot be adequately controlled and the level of risk reduced, it must be escalated to chief officers. The risk management system can be used to facilitate the escalation of risks.

5.3 The response to the risk may use one or a combination of the following:

- **Terminate:** Cease the activity causing or contributing to the risk if it is too great for the organisation to bear or if ways to reduce it are impractical or overly expensive.
- **Treat:** Devise a control strategy of measures to reduce the probability of the risk occurring, or the severity of the impact if it does and check regularly that these control measures are being implemented and are effective.
- **Transfer:** Move the risk to another party by sharing or contracting out all or part of the risk. (Insurance is a method of transferring the financial effects of a risk to another party that is the insurer).
- **Tolerate:** In some circumstances, it may be appropriate to simply tolerate the risk.
- **Monitor:** If it is considered appropriate that the risk should remain “live” and be regularly monitored, without taking further action, if it is considered that there are sufficient control measures in place.

5.4 Risks categorised as department level risks may be closed at a management meeting by the Head of Department – once it is agreed that the risk no longer applies.

5.5 Strategic level risks may only be closed once reviewed by the chief officer responsible for the portfolio to which they relate.

5.6 Assurance (a rationale and evidence to support the closure) must be entered on the risk management system when a risk is archived and closed.

5.7 Any learning points that have arisen as a consequence of managing the risk should also be recorded on the register at the time the risk is archived and closed. Corporate Development Departments (The Head of Information Management in Surrey Police and the Risk Manager in Sussex Police) will oversee the closure of all risks on the risk register and report closed risks and any learning points to the ORBs. These will then be taken forward by the Organisational Learning Board.

6. Role of Corporate Development Departments

6.1 The Corporate Development Department in both forces will oversee the risk management process:

- Reviewing and updating risk strategy, policy and the risk management process
- Administration of the Risk Management System
- Advising senior officers and business leads in relation to risk management
- Work closely with nominated risk coordinators
- Independently reviewing risk management and control strategies

6.2 In Surrey Police the Head of Information Management will fulfil the role of Risk Manager and Head of Profession. In Sussex Police the Risk Manager will fulfil the role of Head of Profession.

7. The Role of Meetings in Managing Risks

7.1 The strategic/portfolio boards chaired by chief officers will:

- Review the strategic risks for the portfolio area to ensure they are scored correctly and are being managed effectively;
- Control measures will be monitored to ensure they are reducing or negating the risk, with on-going appraisal of the impact of control measures on the scale of the risk;

- Identify and record any new risks that need to be managed defining a control strategy with clear accountabilities and time scales (or the decision taken to tolerate it if no control measures are appropriate);
- The decision regarding whether the risk is a strategic risk for the Force(s) will be taken by the chief officer portfolio lead.
- Review any divisional/departments risks which have been marked for the board's attention;
- Consider any risks that may need to be escalated to the relevant chief officer meeting/Chief Constable

8. Organisational Reassurance Boards (ORB)

8.1 The Deputy Chief Constable (DCC) of each Force, as Chair of the Organisational Reassurance Board in each Force, retains the responsibility on behalf of their respective Chief Constable for ensuring that robust risk management processes are in place across their respective Force and that risk management practices are adhered to.

8.2 The ORB in each Force will have an advisory, development and monitoring responsibility and will make recommendations in respect of policy, practice and training that address issues affecting organisational development in the management of risk and opportunities.

8.3 The ORB in each Force will provide recommendations to improve each organisation's effectiveness to respond to risk-based decision-making.

8.4 The ORB in each Force, which meets quarterly, will review the Force's top strategic risks to ensure that the critical risks affecting the Force are being identified and managed. Top scored strategic risks are those scored at 15 or above using the risk scoring matrix, i.e. high and very high red risks. New high amber risk scored at 10 will be presented to highlight emerging risks (See Appendix A ([add link](#)), Risk Management Strategy for further details).

8.5 The ORB in each Force will provide formal approval for the Force top risks.

8.6 Monitoring reports will be considered by the ORB or via a separately managed assurance meeting to provide assurance that risks are being reviewed regularly by risk owners, control strategies are live and effective and that the risk register reflects the true picture of current risks faced by the Force.

8.7 ORB members in each Force will consider and confirm the strategic risks that have been addressed and/or are no longer relevant and which should be archived on the risk management system. Risks will be restored to the live system if this approval is not given.

8.8 The Sussex Police ORB will ensure recommendations which have been identified by external bodies and actions to address them, are recorded and tracked through the risk management system. Updates on progress and completion of actions will be reported to the ORB to ensure effective oversight of delivery.

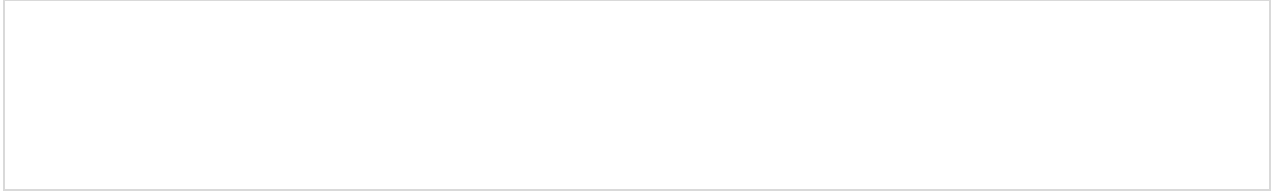
9. Chief Officer Meetings (COM)

9.1 The appropriate chief officer meeting will review any risks which have been escalated to them and allocate resources as needed to treat these risks.

10. Joint Audit Committee (JAC)

10.1 The Surrey Joint Audit Committee and the Sussex Joint Audit Committee are responsible for reviewing the risk registers and assurance framework that relate to the relevant PCC and Chief Constable and will provide assurance that the risk management arrangements that are in place are adequate to effectively manage organisational risk and to monitor progress in addressing risk related issues reported to the Committee.

10.2 Risk reports, including details of the Force top strategic risks, are presented to the JAC at each quarterly meeting.



Team: Corporate Development Departments

DRAFT



Surrey Police and Sussex Police Joint Risk Management Strategy

Authors: Sophie Betts/ Kathy Wrathall

Owner: DCCs

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Introduction

The Surrey Police and Sussex Police Joint Risk Management Strategy promotes the procedures and practices that are required to identify and manage the significant risks that may affect the Forces' ability to achieve their overall priorities to deliver against the objectives and budget set by the Police & Crime Commissioners (PCCs), together with regional and national responsibilities.

Audience

All members of Surrey Police and Sussex Police which includes, but is not limited to, officers (including special constables), police staff, contractors, and those on work placements/secondment/work experience.

Background

A Risk Strategy has been established to provide clarity and guidance regarding the way risk management should be undertaken within Surrey Police and Sussex Police. The Risk Management Strategy is linked to the Joint Force Risk Management Policy and Procedure **xxxx**.

Strategic goals

To ensure risk management is embedded within Surrey Police and Sussex Police and that there is continued improvement and development, ensuring the achievement of the Forces' objectives.

Strategic objectives

1. Integration of risk management into organisational culture

The integration of risk management into the organisational culture of both Forces, to facilitate the identification and management of the most significant risks in order to achieve organisational objectives and priorities.

2. Ensure high standards of risk management

Continued identification and management of risks in accordance with national guidance and best practice in relation to risk management.

3. Preserve and enhance the effectiveness of service delivery

Preserve and enhance the effectiveness of service delivery by focussing on opportunities that may have arisen as a result of the focus on risk management activities.

4. Ensure risk management is linked to the Force Management Statement

Ensure risk management is central to the preparation of the Force Management Statements for both Forces (annual requirement from 2018).

Oversight

The Deputy Chief Constables (DCCs) of both Force have the responsibility for ensuring risk management is undertaken to the required standard and will ensure regular reports are made available to their respective Force's Police and Crime Commissioner for review and scrutiny.

Governance

The delivery of the Risk Management Strategy is reviewed by the Organisational Reassurance Boards of both Forces on a quarterly basis.

Evaluation

Regular risk management reports are submitted to the Organisational Reassurance Boards for scrutiny to ensure effective risk management is being undertaken.

Publication

Published on the intranet via the Policy Database for each Force.

Communication

Communicated alongside the Force Risk Management Policy and integral in training of all new users of the Risk Management system.

Term of the strategy

There is a continuing requirement for a Risk Management Strategy which will be reviewed bi-annually together with the Risk Management Policy.

Document Control

Version history

Date	Version	Comments
May 2021	V0.1	First draft of Joint Surrey/Sussex Risk Management Strategy

Review Control

Reviewer	Section	Comments	Actions agreed

1. Executive Summary

The Chief Constable of Surrey Police and the Chief Constable of Sussex Police are the responsible officers for risk on behalf of their respective Forces. Surrey Police and Sussex Police have a responsibility to ensure there is an effective framework in place for identifying and managing risk. Surrey Police and Sussex Police will therefore manage exposure to risk by establishing comprehensive systems and procedures to both recognise and prioritise significant risks and identify controls.

There are requirements to comply with regulations, best practice and legislation that make it necessary for risk management to retain a high profile at all levels of the organisation. Some of the relevant requirements include:

- Civil Contingencies Act 2004
- Health & Safety at Work etc. Act 1974 and Health & Safety Offences Act 2008
- Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) inspection findings
- Independent Office for Police Conduct (IOPC) investigations and findings

This document deals exclusively with managing 'organisational risks', rather than other, more tactical or operational risks (e.g. risk assessments in police operations, health & safety risks assessments or custody risk assessments).

Organisational risk management is about identifying threats to the ability of an organisation to deliver its objectives or realise its strategic aims. These include a wide variety of actual or possible events or series of consequences that have the potential to threaten the performance, reputation or financial position of the organisation; the safety of staff or the wider public or the ability to comply with legislation or national requirements. Organisational risk is what potentially affects the ability of either Force to deliver the Police & Crime Plans created and published by the PCCs.

The Risk Management Strategy details best practice for adoption by those charged with responsibilities for risk management within both Forces. The Force policy on risk management exists as a separate document and, whilst much of the contents are reflected here, it should be read separately.

Risk/Issues: Surrey Police and Sussex Police define an **issue** as something that is live and currently being faced. A **risk** is a potential issue, one that can be foreseen and where actions can be considered to treat or mitigate the risk (reducing either the likelihood or impact).

2. Monitoring:

The PCCs have a statutory duty to scrutinise their respective Forces' risks and control measures. Each PCC must be satisfied that sound systems of internal control for the management of risk are in place. In order to enable this, risk management processes within each Force will be reported to the PCC on a regular basis.

Further to this the respective Joint Audit Committees (JACs) have a responsibility for reviewing the risk registers and risk assurance mapping process for both the PCC and Chief Constable and providing assurance that the risk management arrangements that are in place are adequate to effectively manage organisational risk and to monitor progress in addressing risk related issues reported to each JAC.

The risk register of each Force is subject to annual scrutiny by external and internal auditors. The risk management policy and process are subject to scrutiny by external and internal auditors every two years.

3. Objectives and Benefits

The Main Objectives are to:

- Integrate risk management into the organisational culture to facilitate the identification and management of the most significant risks for both Forces in order to achieve organisational objectives and priorities;
- Manage risk in accordance with best practice and adhere to national guidance;
- Preserve and enhance the effectiveness of service delivery by focussing on opportunities that may have arisen as a result of the focus on risk management activities.
- Ensure risk management is central to the preparation of the Force Management Statements (annual requirement from 2018).

The Objectives will be achieved by:

- Ensuring that risk management practices are closely linked to the achievement of the organisational objectives of each Force;
- Allocating resources to risk management activities;
- Establishing clear roles and responsibilities for all stakeholders;
- Actively maintaining awareness of current best practice;
- Integrating risk management into the strategic planning process, including the Force Management Statements;
- Informing policy and operational decisions by identifying risks and their likely impact.

The Benefits are:

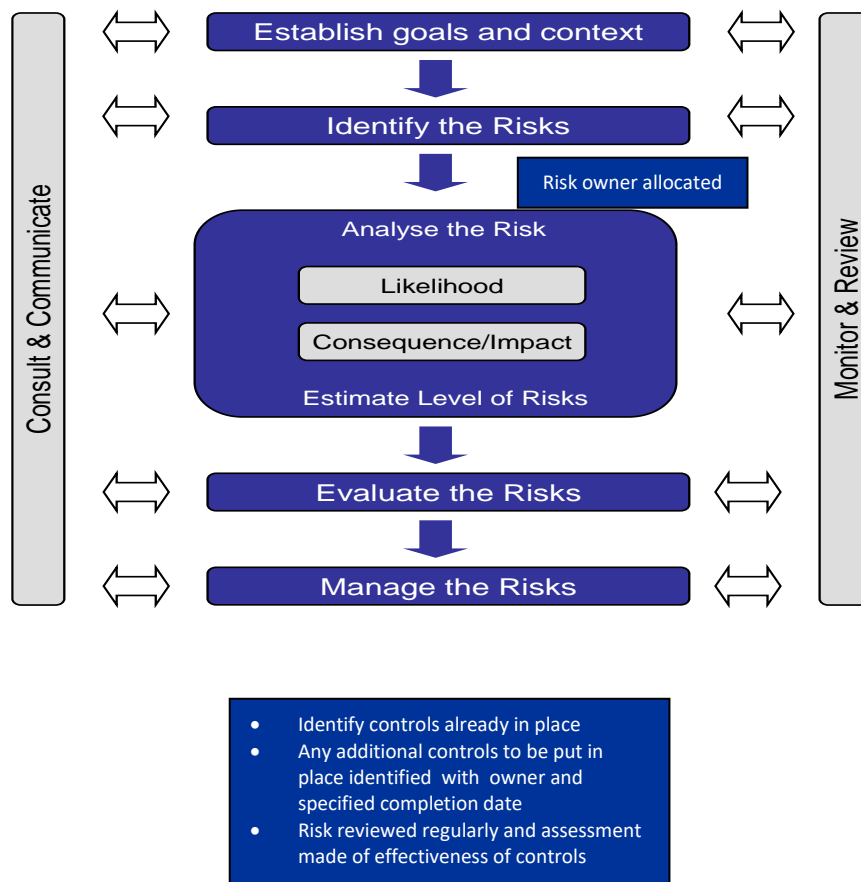
- Improved decision-making, planning and prioritisation through structured understanding of business activity and the associated threats/opportunities;
- Delivering best value by the appropriate allocation of funding and resources;
- Minimising loss, damage or injury;

- Safeguarding employees, the public and others affected by Surrey Police and Sussex Police activity;
- Developing and supporting people and the organisations' knowledge base;
- Protecting the professional image and trust and confidence in Surrey Police and Sussex Police.

4. Risk Management Framework

The joint risk management processes are broadly aligned to the Association of Local Authority Risk Managers (ALARM) / Institute of Risk Management (IRM) standards.

The following high-level diagram sets out the Risk Management process:



A management structure and process, supported by appropriate technology, is in place to enable across both forces:

- Identification of internal and external organisational risks;
- Formal initial and periodic evaluation of organisational risks, using a standard corporate methodology;
- Development of appropriate control strategies and on-going monitoring of progress and impact;
- Force-wide understanding of organisational risk and individual responsibilities in relation to it.

Identify the Risks

As stated above, organisational risk management is about identifying threats to the achievement of organisational priorities. It is the responsibility of all staff members to identify risks, although it is generally more likely to arise from a senior officer or member of a management team.

Risks to business objectives, generally threats to service delivery, the Forces' reputation or those with a financial implication or recommendations from regulatory bodies to enhance results should be identified on an ongoing basis. These risks should be included on the joint Force risk management system, which facilitates the proactive management of such risks.

It is the policy of both Forces to identify and evaluate proactively these organisational risks and to determine and implement an appropriate response in an informed and controlled manner. In doing so the following principles will be adopted:

- Evaluation of organisational risks will use a consistent, corporate methodology;
- The response will be proportionate, that is the cost and likely effectiveness of potential control measures will be weighed against the probability of the risk event occurring and the likely scale of impact;
- In some cases no control action will be appropriate and the risk will simply be tolerated, subject to on-going monitoring and periodic re-evaluation of probability and impact.

Responsible and informed risk-taking, in the interests of achieving the strategic objectives of the Forces, will be supported, subject to appropriate action to mitigate risks where possible.

There are two types of organisational risk that the Forces manage:

- **Strategic Risks:** Risks which would have a significant impact on the organisations. (N.B. High level (red) risks should be owned by chief officers).
- **Divisional/Departmental Risks** are those that would only affect the division/department to which they belong and should be owned by a senior manager, divisional commander or department head.

When deciding whether the risk is a strategic risk or lower level divisional or departmental risk the following points should be considered:

- whether the risk is restricted to affecting a single business or geographical area or whether the risk is at a force-wide level (e.g. threatening the delivery of one or more policing plan targets or overall objectives);
- the impact of the risk being felt by more than one business area at a significant level;
- the ownership of the risk spanning two or more portfolios or being jointly shared with the PCC;
- the control measures substantially relying on other portfolios;

The decision regarding whether the risk is a strategic risk for the Force(s) will be taken by the chief officer portfolio lead.

Risks that are applicable to both forces

When identifying a risk it is important to consider whether the risks just affects one Force or whether it is applicable to both Forces. The risk management system allows for risks and issues to be recorded that are specific to each force or are applicable to both.

Analysing and Evaluating the Risk

The process covers: the identification, measurement and recording of organisational risk for the Forces; the definition and monitoring of control measures to reduce or negate the risk (or the decision to tolerate it if no control measures are appropriate), and the on-going appraisal of the impact of control measures on the scale of the risk.

Chief officers, divisional commanders and department heads will consider potential risks and decide whether an actual risk is posed and what evidence exists to corroborate the risk. There is a specific requirement to identify the "cause" and "effect" of each risk identified.

An evaluation should be carried out for each risk identified, as this helps to provide a score to assist with subsequent prioritisation of resources and monitoring.

Standard definitions have been established for the assessment of the likelihood of the risk occurring and the probable impact the risk may have. These definitions are set out in the tables below showing the score for each level. These definitions help the organisation to score the risks and allow prioritisation of risk, based on the total risk score. Ranking the highest risks establishes which risks should be prioritised and have primary management focus.

PROBABILITY ASSESSMENT: Likelihood that the risk will happen		
Very Low	1	Less than 5% - unlikely to occur
Low	2	More than 5% chance that this will happen – will possibly occur
Medium	3	More than 20% chance that this will happen - quite likely to occur
High	4	More than 50% chance that this will happen – more likely than not to occur
Very High	5	More than 90% chance that this will happen – expected to occur

IMPACT ASSESSMENT: the consequences if this risk happens							
Impact Grading		Impact Categories					
	Score	Safety	Force trust and confidence	Performance	Compliance	Financial	Assets
Very Low	1	No injury	No discernible damage	No discernible impact on achieving performance targets	No breach of policy & procedure	On or within allocated budget	No loss of tangible assets or resources
Low/Minimal	2	Minor injury	Minimal impact on public, staff or Force reputation. Minimal localised damage	Minor Service Delivery Disruption. Minimal impact on achieving performance target	Non-compliance with policy & procedure	Low Financial Cost (up to £100,000) and manageable within existing budgets.	May result in loss of some tangible assets or resources
Medium/Noticeable	3	Serious injury	Limited short-term impact on perceptions or confidence of specific geographic or demographic group.	Some Service Disruption. Noticeable impact on achieving performance targets	Non-compliance with regulatory framework	Additional funds required Additional or unplanned financial cost (£100,000 - £1 million)	May result in the costly loss of tangible assets or resources
High/- Major	4	Serious injury. Single fatality. Long-term impact on quality of lives	Visible impact on perceptions or confidence of multiple or priority groups, or on Force reputation as defined by the Code of Ethics. Major long-term damage	Significant Service Disruption. Major impact on achieving performance targets.	Improvement notice / civil litigation	Additional or unplanned large financial cost (£1 million to £5 million). Significant impact on other budget(s)	May result in highly costly loss of major tangible assets or resources
Very High/ Disaster	5	Multiple fatalities. Long-term impact on quality of lives	Catastrophic damage. Significant impact on perceptions or confidence of multiple or priority groups, or on Force reputation as defined by the Code of Ethics	Significant Service Failure. Catastrophic impact on achieving performance targets	Criminal prosecution. Serious intervention	Major Financial Crisis (in excess of £5 million) Potential loss of other budget allocations	May result in severe costly loss of critical tangible assets or resources

Based on the overall risk score, the following matrix identifies the classification of risks into five categories of risk: very low; low; medium; high and very high as shown in the matrix below.

Surrey Police/Sussex Police Risk Scoring Matrix

		PROBABILITY				
		Very High (5)	High (4)	Medium (3)	Low (2)	Very low (1)
IMPACT	Very High/Disaster (5)	25 Very High	20 Very High	15 High	10 Medium	5 Low
	High/Major (4)	20 Very High	16 High	12 Medium	8 Medium	4 Low
	Medium/Noticeable (3)	15 High	12 Medium	9 Medium	6 Low	3 Very Low
	Low/Minimal (2)	10 Medium	8 Medium	6 Low	4 Low	2 Very Low
	Very low (1)	5 Low	4 Low	3 Very Low	2 Very Low	1 Very Low

Risk classification

20+ Very High – critical (DARK RED)

Take urgent action. These risks require immediate and on-going management attention to embed and maintain controls, assurances and actions that will reduce likelihood and/or impact.

Review risk weekly to every 4 weeks

15-19 High (RED)

Take action as soon as possible to mitigate. These are significant requiring attention to reduce likelihood and/or impact.

Review risk at least every 4 weeks

8 – 14 Medium (Amber)

Take practical measures to reduce risk & manage. These are less significant risks but need to be monitored to capture any increase in the inherent risk position and to ensure the controls are effective.

Review risk at least every 6-8 weeks

4-7 Low (Dark Green)

Continuing monitoring and review of control measures. If possible aim for such a low level risk to be archived, if the inherent risk is no longer evident.

Review every 12 weeks if inherent risk remains and controls need to be monitored for effectiveness

1 – 3 Very Low (Dark Green)

Consider if this is business as usual and whether this needs to be recorded on the risk register. Archive if possible.

Review every 12 weeks if inherent risk remains and controls need to be monitored for effectiveness.

Risk Ownership

Owners for each risk will be identified and recorded on the risk management system and will be responsible for managing the risk.

Manage the Risks

Management of risk is the process of selecting and implementing controls to stop or reduce the likelihood and/or impact of the risk.

- Can the event be stopped?
- Can the likelihood or probability be reduced?
- Can the impact of the event to the organisation be reduced?
- Can the consequences be changed?
- Can future action be considered and planned?

The response to a risk is where the risk is accepted or addressed and may use one or a combination of the following:

RISK CONTROL	
Terminate	Cease the activity causing or contributing to the risk if it is too great for the organisation to bear or if ways to reduce it are impractical or overly expensive.
Treat	Devise a control strategy of measures to reduce the probability of the risk occurring or the severity of the impact if it does.
Transfer	Move the risk to another party by sharing or contracting out all or part of the risk. (Insurance is a method of transferring the financial effects of a risk to another party that is the insurer).
Tolerate	In some circumstances, it may be appropriate to simply tolerate the risk (e.g. the cost of risk control outweighs the likely cost if the risk occurs).
Monitor	It is considered appropriate that the risk should remain 'live,' and be regularly monitored, without taking further action as it is considered that there are sufficient control measures in place.

Control measures should be put in place that aim to modify the risk; this includes any process, policy, device, practice or other action. Risk control measures can therefore be implemented to reduce the probability of the risk and/or produce a more desirable outcome.

The joint risk management system allows controls already in existence and additional planned controls to be recorded (with clear accountabilities and time-scales for completion).

Assurance assessments of the control measures in place to mitigate strategic risks will be undertaken on an annual basis and will be reported to the Organisational Reassurance Boards.

Monitor and Review

Deputy Chief Constables: The DCCs as Chairs of the Organisational Reassurance Boards (ORB) retain the responsibility on behalf of their respective Chief Constables for ensuring that robust risk management practices are adhered to.

Chief Officers are responsible for the identification and management of all risks that are relevant to their portfolio which may affect the delivery of the portfolio's objectives. Chief Officers will ensure that these risks are reviewed on a regular basis at their portfolio/strategic board meeting, together with the Force top strategic risks.

Divisional Commanders and Departmental Heads are responsible for the identification and management of risk in their areas of control and for ensuring that identified risks are recorded using the joint risk management system. They must identify and review their risks, issues and recommendations on a monthly basis at Command/Senior Management Team Meetings and ensure identification of risks that should be escalated to portfolio/strategic board meetings.

Risk Coordinators are responsible for working with their chief officer or division/departmental command teams to identify, record, score and track risks on the risk management system. They must ensure the risks recorded for their division/department or portfolio area are reviewed and updated regularly.

Corporate Development Departments: The Head of Information Management in Surrey Police and the Risk Manager in Sussex Police provide the Head of Profession function for risk management for their respective forces and will:

- Take forward the Risk Management Strategy and lead, advise and report on risk management.
- Jointly own and manage the ongoing development of the risk management system.
- Consult with the Force Insurance Manager to ensure that any change to our insurance landscape is understood and reflected in our risk management processes.
- Advise senior officers and business leads in relation to risk management
- Work closely with nominated risk coordinators.
- Independently review risk management and control strategies
- Prepare reports for the strategic boards detailing the top strategic risks for scrutiny.
- Create a quarterly report for the Joint Audit Committees, enabling the Committees' role in providing assurance that the risk management arrangements that are in place in each Force are adequate to effectively manage organisational risk and to monitor progress in addressing risk related to issues reported to the Committees.

Closing Risks

Department level risks may be closed at a management meeting by the Head of Department – once it is agreed that the risk no longer applies.

Strategic level risks may only be closed once reviewed by the chief officer responsible for the portfolio to which they relate.

Assurance (evidence to support the closure) must be articulated in the closure statement for all risks. The Corporate Development Departments (The Head of Information Management in Surrey and the Risk Manager in Sussex Police) will oversee the closure of all risks on the risk register and can request further evidence where deemed appropriate before archiving the risk.

To ensure that lessons learnt from managing risks are captured and communicated, key learning points are recorded on the risk register at the time of archiving, confirmed to the Organisational Reassurance Boards and taken forward by the Organisational Learning Board.

Consult and Communicate

Regular consultation and communication needs to take place between risk owners, Head of Profession for risk management and risk coordinators. This will ensure that emerging risks are identified, risk controls are implemented and risks which have been mitigated can be archived.

Chief officers who are responsible for collaborated areas should ensure effective and consistent recording and management of risks that relate to both Surrey Police and Sussex Police.

The Head of Profession in each force will liaise with the Offices of the Police and Crime Commissioners to provide assurance that registers are properly maintained and that interdependencies between the four organisations (Surrey Police/ Surrey PCC/ Sussex Police/Sussex PCC) are effectively managed.

5. Issues

The risk management system has the capability to record and monitor current issues as well as future risks. An issue is defined as something that is live and currently being faced.

A risk is a potential issue, one that can be foreseen and prevented, or its impact lessened by planned mitigations.

Issues will be managed using the same procedure as for risks, as set out above.

6. Recommendations

All recommendations that have been identified by external bodies such as IOPC, HMICFRS, and internal audit reviews will be recorded on the risk management system. This will ensure that the Forces track the progress and completion of actions that have been identified to address the recommendations that have been issued to the Forces.

7. PCC Risks

The identification and management of the risks that relate to the PCC for Surrey and the PCC for Sussex risks will be dealt with separately within the Offices of the Police and Crime Commissioners (OSPCC).

8. Internal and External Audit

The risk management process is subject to both internal and external audit review. Audit activity is coordinated to avoid duplication and is reported to the JACs.