



Classification

NOT PROTECTIVELY MARKED

<u>Title</u>	RISK MANAGEMENT POLICY
<u>CCMT Sponsor</u>	DEPUTY CHIEF CONSTABLE
<u>Department/Area</u>	STRATEGIC DEVELOPMENT
<u>Section/Sector</u>	CHANGE MANAGEMENT

1.0 Rationale

It is the policy of the Thames Valley Police Authority and the Chief Constable to adopt a pro-active approach to Risk Management consistent with the principles of BS 31100:2008 Risk management Code of Practice and Corporate Governance.

Effective Risk Management leads to better policing and overall organisational excellence.

2.0 Intention

The intention of this document shall apply to inform the staff and officers of Thames Valley Police about its risk management policy and accompanying strategy.

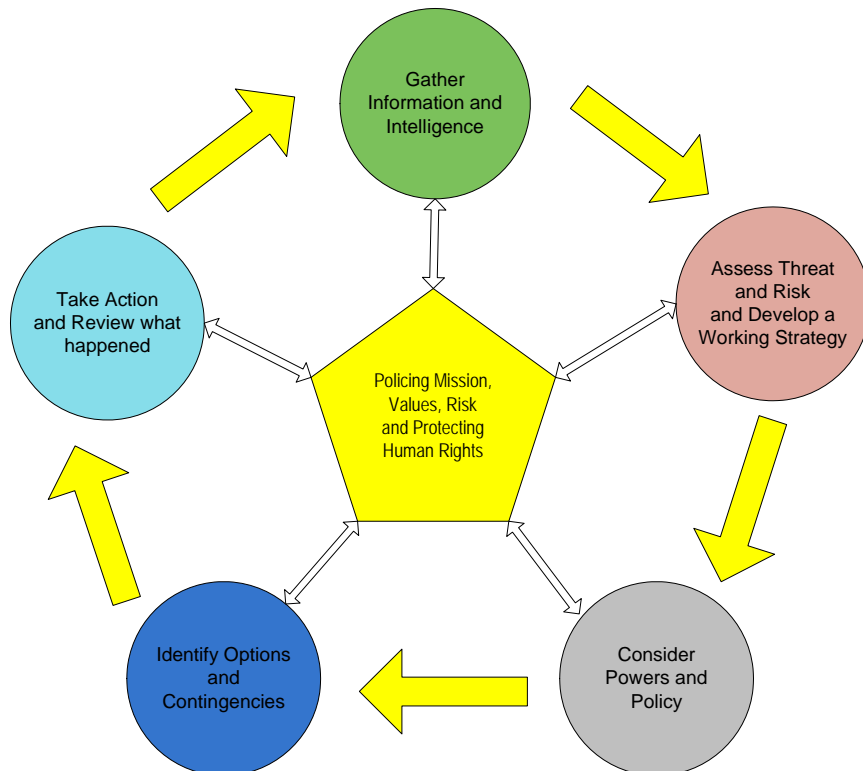
Statement of Intent

Risk Management is about identifying, analysing and managing potential issues/problems that may impact on the Forces business objectives, programmes, projects or partnership across the Force. Risk shall be managed in an integrated process to ensure that interdependencies are identified and managed accordingly.

All management teams within the force shall make use of the Decision Making Model (DMM) as developed by Association of Chief Police Officers (ACPO) as shown within figure1, in conjunction with the principles within BS 31100:2008 Risk Management Code of Practice in combination with the Ten Risk Principles¹

3.0 General Principles

¹ [ACPO 10 Risk Management Principles](#) can found on the Force Risk Management Intranet Site.



Good Risk Management enables more informed decision making allowing the force to be more risk aware and not risk adverse

In all business areas, managers will carry out risk assessments regularly, record the findings and take appropriate management actions in a timely fashion. Risk reviews will specifically address business, operational, financial and reputational risks as well as risks covered by Health and Safety and Environmental Protection legislation:-

In particular, to ensure audit and corporate governance requirements are met the force shall aim to integrate Risk Management principles into the following activities:

1. Identification of the risks to which the organisation is exposed.
2. Assessment of those risks in terms of Impact and severity.
3. Evaluation of control measures, where possible and cost-effective, to eliminate or reduce the frequency and/or impact of risk events.
4. Allocation of Risk Owner and implementation of control measures.
5. Managing the risk, applying the four T's:

- ❖ Treat the Risk
- ❖ Transfer the Risk
- ❖ Terminate the Risk
- ❖ Tolerate the Risk

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6. Monitor and review risk regularly taking account of significant changes that may require revisions²

At any one time Thames Valley Police Force can be exposed to a number of risks that may threaten its assets, interrupt activity and divert resources from the Force's aim of "Working with our communities to reduce crime, disorder and the fear of crime".

Thames Valley Police is committed to the management of risk in order to:-

- Safeguard its personnel and all other persons to whom it has a duty of care
- Ensure compliance with statutory obligations
- Preserve and enhance service delivery
- Maintain effective control of public funds
- Protect its property and all other physical assets and resources
- Protect the reputation of Thames Valley Police.

To ensure good practice, the force will as far as reasonably practicable, adhere to the principles within BS 31100:2008 Risk Management Code of Practice in combination with the ten risk principles³ as developed by the National Police Improvement Agency (NPIA) and endorsed by the Cabinet Office.

4.0 Challenges & Representations

Head of Strategic Development
Thames Valley Police
Headquarters
Oxford Road
Kidlington
OX5 2NX

5.0 Guidance, Procedures & Tactics

General

The policy will be attained through the implementation of a cohesive Risk Management Strategy⁴ to ensure that a culture of managing risk is embedded throughout the organisation. A Risk Register at strategic level shall be reviewed at quarterly intervals by the Force Risk Management Group

Risk Management will be maintained at two levels:-

² Risk Register Entries shall be reviewed at three monthly intervals or whenever there is significant change that warrants review.

³ [ACPO 10 Risk Management Principles](#) can found on the Force Risk Management Intranet Site

⁴ [Risk Management Strategy](#) can found on the Force Risk Management Intranet Site

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Strategic Risk Management - The management of risks that may impact on the Force's medium to long-term goals and objectives will be co-ordinated by the Force Risk Management Group (FRMG) that forms part of CCMT and includes the Police Authority. Individual managers at senior level will be allocated ownership of those risks that fall within their area of responsibility.

Operational Risk Management – The management of risks that will be encountered in the daily course of work will be an intrinsic part of the role of all managers throughout the Force. All personnel will have a responsibility to co-operate with their managers to identify, assess and review risks that may affect the achievement of their objectives.

Where risks have been identified they shall be assessed in accordance with the [Risk Management - User Guide](#)

The Deputy Chief Constable will sign off any revisions to the Policy and/or Strategy documents.

Appendix A provides an overview of the process and identifies the key personnel directly involved within the Risk Management Process.

Responsibilities

General

The policy shall be owned by the Deputy Chief Constable and reviewed by the FRMG and shall be implemented by line management at all levels. This policy shall be reviewed by the Risk and Business Continuity Manager.

Force Risk Management Group

Force Risk Management Group has responsibility for determining the strategic direction of the force and for creating the environment and the structures for risk management to operate effectively. Further Responsibilities shall include:

- ❖ the nature and extent of downside risks acceptable for the Force to sustain within its particular service
- ❖ the likelihood of such risks becoming a reality
- ❖ how unacceptable risks should be managed
- ❖ the ability of Thames Valley Police Force to minimise the likelihood and impact on the organisation.
- ❖ the costs and benefits of the risk and control activity undertaken
- ❖ the effectiveness of the risk management process
- ❖ the risk implications of board decisions

Risk and Business Continuity Manager

The role of the Risk and Business Continuity Manager shall include the following:

- ❖ Setting Policy and Strategy for risk management
- ❖ Manage the Force Strategic Risk Register and strategy on behalf of the Chief Constable
- ❖ Building a risk aware culture and embedding such culture within the organisation including appropriate education
- ❖ Establishing internal risk policy and structures for LPA/OCU's
- ❖ Designing and reviewing processes for risk management
- ❖ Co-ordinating the various functional activities which advise on risk management issues within the organisation
- ❖ Developing risk response processes, advising on issues of risk including contingency and business continuity programmes
- ❖ Preparing reports on risk for the Senior Management and key stakeholders
- ❖ Manage the Force Risk Management Budget
- ❖ Participate in the strategic decision making process

Local Senior Management Team (SMT – LPA/OCU)

The LPA/OCU's have primary responsibility for managing risk on a day to day basis

- ❖ LPA/OCU's shall be responsible for promoting risk awareness within their activities and shall introduce risk management objectives into their local delivery plans
- ❖ Shall hold regular management-meetings to allow consideration of exposures and to reprioritise work in the light of effective risk analysis
- ❖ LPA/OCU's shall ensure that risk management is incorporated at the conceptual stage of projects as well as throughout a project
- ❖ Be aware of risks which may fall into their area of responsibility, or the possible impacts these may have on other areas and the consequences other areas may have on them
- ❖ Establish an indicator which allows them to monitor the progress towards objectives and identify developments which require intervention.
- ❖ report systematically and promptly to senior management any perceived new risks or failures of existing control measures
- ❖ Ensure that Risk Management is a standard agenda item with the relevant Risk Register

Line Managers

Line Managers shall be responsible to their respective LPA/OCU Commander/ Manager to:

- ❖ understand their accountability for individual risks
- ❖ understand how they can enable continuous improvement of risk management response
- ❖ understand that risk management and risk awareness are a key part of the organisation's culture
- ❖ report systematically and promptly to senior management any perceived new risks or failures of existing control measures

6.0 Communication

6.1 Links to Police National Computer/Legal Database /Other

1. Corporate Governance
2. Risk Management Standard Operating Procedure
3. The Account & Audit Regulations 2003
4. The Accounts and Audit Regulations 2006
5. BS 31100:2008 Risk management Code of Practice

6.2 Communications Strategy

All officers and employees will be made aware of the importance of risk management and their role in promoting better risk management. In order to achieve this, a communication strategy will be developed by the Risk and Business Continuity Manager (RBCM)
This strategy will ensure that:

- the Force's policy on Risk Management is disseminated throughout the Force
- risk-related information is communicated to the appropriate recipient
- the risk of breakdown in communication, leading to inaccurate/out of date risk management information and potentially greater exposure, is reduced

7.0 Compliance and Certification

7.1 Human Rights Certification

(i) Legal Basis

The Account & Audit Regulations 2003 introduced a requirement to publish a Statement on Internal Control with the annual Statement of Accounts which must include 'measures to ensure that risk is appropriately managed'.

This policy document is also founded in good management practice and in accordance with Corporate Governance

(ii) Human Rights Articles Engaged

Article 2: Right to Life.

Audited by (name): Keron Harris
Audited on (date): 18/10/02

(iii) Prohibition of Discrimination

Actions taken as a consequence of this Policy will be applied in a fair and impartial way, having due regard for natural justice and human rights.

Article 14 Prohibition of Discrimination

7.2 Diversity Impact Assessment

This policy has been assessed against the six strands of diversity and has been assessed as being low impact

7.3 Data Protection

This policy complies with Data Protection Act 1998.

7.4 Freedom of Information Act

This may be disclosed under the Freedom of Information Act

7.5 Management of Police Information (MOPI)

This document does not directly fall within the six key business areas as identified by the Management of Police Information (MoPI)

7.6 Protective Markings

This has been assessed in accordance with the Government Protective Marking Scheme and is classified as:

Not Protectively Marked.

7.7 Health & Safety at Work

This policy does not directly impact on individual safety however it does support the risk management principles of Health and Safety.

8.0 Monitoring and Review

8.1 Links to Thames Valley Police Strategic Objectives and Aims

Risk Management is a key element of the management process. Good risk management shall ensure that best value and improved use of our resources is achieved realistically in all working practices

This policy supports the following strategic objectives and values:

Objectives:

To improve the use of resources
To develop our people to give the best service

Values:

Engage, Listen and Respond
Learn from experience and always seek to improve

8.2 Review Process

This Policy and the Risk Management Strategy shall be formally reviewed.

The Strategic Risk Register will be reviewed at the quarterly meetings of the FRMG, and revised where necessary to reflect changing circumstances and objectives.

Monitoring, review and independent assurance of the effectiveness of the Policy and Strategy in practice will be carried out by Risk and Business Continuity Manager.

For use by the Policy Management Unit Only

<p><u>Policy Authorisation</u></p> <p>Policy approved at (e.g. meeting or committee):</p> <p>Date policy signed off:</p> <p>Policy signed off by:</p> <p>_____</p> <p>(Name of relevant ACC) (Signature) (Functional area)</p>
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