



## **GWENT POLICE AUTHORITY AND GWENT POLICE JOINT RISK MANAGEMENT POLICY**

### **1.0 Policy Statement**

1.1 Gwent Police Authority and Gwent Police are jointly committed to the application of risk management principles and believe that a co-ordinated approach to risk management is essential to maximise the quality and efficiency of its service provision, uphold its reputation and to safeguard the organisation against loss. Gwent Police Authority and Gwent Police will seek to identify, analyse and prioritise the risks faced by the organisation and with the resources available, manage and control these risks. Risk management is an integral part of the organisation's planning and management process.

1.2 There will be a two-tiered approach to managing risk within the organisation. Firstly, the strategic level, which involves management of high level, corporate risks that will impact the force as a whole and upon the achievement of Force objectives. Secondly, risks will be managed on a local/operational level that relate to day to day, operational activities specific to that area. At both levels, the input of senior managers is essential in order to identify key risks and implement appropriate control measures in line with objectives and plans. The Strategic Risk Management process is set out in Appendix 2.

### **2.0 Aims**

2.1 This policy aims to ensure that there is a planned and systematic approach to identify, evaluate and manage the whole range of risks and opportunities facing the organisation. The policy is underpinned by the Joint Strategic Risk Management Strategy<sup>1</sup> (Risk Strategy) that outlines the responsibilities, process and structure for delivering effective risk management.

### **3.0 Intention**

3.1 The intention of this document is to inform all Police Authority and Gwent Police personnel about its risk management policy which will be implemented through the accompanying Risk Strategy. Gwent Police Authority's Code of Corporate Governance<sup>2</sup> requires the organisation to

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<sup>1</sup> The Risk Strategy is available on the Force Intranet under Business Change in the Service Development Section.

<sup>2</sup> The Code of Corporate Governance is available under the Publications section of the Gwent Police Authority website.

undertake effective risk management. All personnel, including those working voluntarily or under contract to the organisation must be aware of, and are required to comply with, this policy and its associated Strategy.

#### **4.0 Introduction**

4.1 Risk management is a key element of the organisation's strategic management and corporate governance. It is the process of identifying risks or opportunities and managing risk exposure, which is the probability of risks occurring and the potential impact if they did occur. Following identification, risk management is the consideration of control mechanisms and the implementation of effective monitoring and mitigation. The management of risk can be defined as follows:

4.2 "Risk management is a central part of any organisation's strategic management. It is the process whereby organisations methodically address the risks attaching to their activities with the goal of achieving sustained benefit within each activity and across the portfolio of all activities. The focus of good risk management is the identification and treatment of these risks."<sup>3</sup>

#### **5.0 Risk Management Objectives**

- Integrate risk management into the culture of the organisation
- Prevent or minimise the potential consequences of events which could have been reasonably foreseen
- Prevent or reduce events or actions that could damage the reputation and public confidence of the organisation
- Improve decision making, planning and the allocation of resources
- Anticipate and respond to changing political, economic, sociological, technical, environmental, legal and organisational requirements
- Grasp opportunities
- Preserve and enhance effective service delivery
- Enhance the need to be risk aware and not risk averse.

#### **6.0 Strategy to implement the policy**

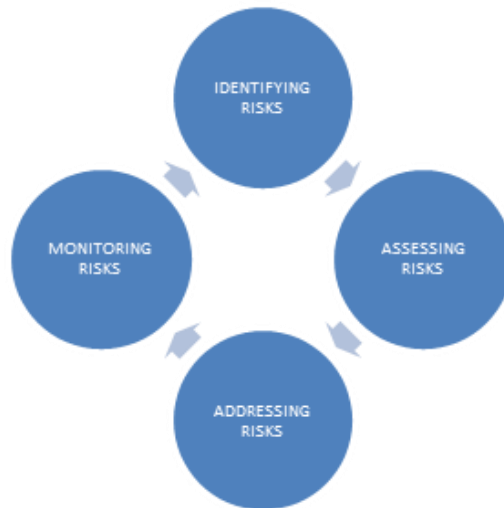
6.1 The Gwent Police Authority and Gwent Police Joint Strategic Risk Management Strategy will detail how risk management will be embedded into the governance structure and business of the organisation.

#### **7.0 Risk Process**

7.1 In order to successfully manage risks within the organisation, the force follows the Risk Management Cycle which outlines four effective stages:

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<sup>3</sup> Risk Management Standard – Institute of Risk Management 2002



7.2 Identification, description and evaluation of risks will be undertaken by personnel via Police Authority meetings, meetings within the Force Corporate Governance framework, internal and external audit and inspection activity, and risks arising from partnership and collaborative projects. Once a risk has been identified an assessment must be undertaken which needs to be assessed both in terms of *likelihood* and *impact*. The assessment must therefore use the scoring model set out on the Strategic Risk Assessment Form<sup>4</sup> (Appendix 1) and outlined in the Risk Strategy.

7.3 The assessment will be presented to the Strategic Risk Manager for consideration at the Business Tasking and Co-ordination Group (BTCG) which monitors strategic risk.

7.4 Once a risk has been evaluated and accepted it will be entered onto the Strategic Risk Register held on the Force Management Database, maintained by the Strategic Risk Manager. The Register allows for the formal identification of risks, recording and prioritisation of risks, and the mapping of risks to internal controls. The entry will include:

- A risk identification code
- A description of the risk, clearly defining the source and consequence
- The risk owner
- The control measures attributable to the risk
- Mitigation action
- A review date for progress of the mitigation action.

Entries mitigated will be closed and logged in an archive.

7.5 The database is available to both police and Police Authority personnel via the QlikView facility on the intranet. This allows risk owners to monitor and update risks directly.

7.6 Only strategic risks will be held on the Strategic Risk Register. The management of local/operational risks will be an intrinsic part of the role of all managers throughout the Force and dealt with on a local basis.

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<sup>4</sup> The Strategic Risk Assessment Form is available on the Force Intranet under Business Change in the Service Development Section.

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Where necessary and appropriate, risks may be escalated from local level upwards for Strategic Risk evaluation using the Strategic Risk Assessment and process outlined above and in the Risk Strategy, or referred down from the Strategic group for local monitoring.

### 8.0 Outcomes

8.1 Measurement will be achieved through analysis of the Strategic Risk Register and its controls. Review of the success of controls will be conducted via the BTCG and Gwent Police Authority's Strategic Planning and Performance Committee. Adherence to this Policy should:

- Protect the image and reputation of the organisation
- Help deliver value for money by informing decision making
- Improve results in meeting strategic objectives
- Improve service delivery

### 9.0 The Legal Basis

- The Account and Audit (Amendment) Regulations 2006 place a legal duty on police forces to manage risk.
- Health and Safety Act 1974

### 10.0 Human Rights Certificate of Compliance

10.1 The policy has been checked for compliance with the Human Rights Act; with particular reference to the legal basis of its precepts: the legitimacy of its aims; the justification and proportionality of the actions intended by it; that it is the least intrusive and damaging option necessary to achieve the aims; and that it defines the need to document the relevant decision making process's and outcomes of actions.

### 11.0 Risk Assessment and health and safety Considerations

11.1 The Gwent Police Service Dynamic Assessment should be applied as necessary. A training package in the use of risk assessment will be provided to all police personnel if requested or required.

### 12.0 Review

12.1 This Policy will be reviewed annually in preparation of the Annual Governance Statement.

### Identification Section

Protective Marking:	Not Protectively Marked
Policy Title:	Strategic Risk Management Police
Policy Issue No:	517/8 issue 1
ACPO Lead:	Deputy Chief Constable
Service Area Owner:	Head of Service Development
Author:	Risk Manager
Related Documents:	Accounts and Audit (Amendment Regulations 2006 Civil Contingencies Act 2004 The Risk Management Standard (Institute of Risk Management). Data Protection Policy

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	Health and Safety Policy Information Security Policy
Policy Implementation Date:	3 <sup>rd</sup> March 2011
Policy Review Date:	March 2012

**APPENDIX 1**

**STRATEGIC RISK MANAGEMENT RISK ASSESSMENT FORM**

<b>PART A (To be completed by the person identifying the risk)</b>			
<b>Subject</b> ( <i>Title of Potential Strategic Risk</i> )			
<b>Person Identifying</b> ( <i>Name, department</i> )		<b>Date</b>	
<b>Information Background</b> ( <i>include history of issue, source information, details of body or organisation, legislation. Attach supporting information where applicable.</i> )			
<b>Impact - Potential Risks or Opportunities Identified</b> ( <i>Nature and likely impact on Gwent Police and Gwent Police Authority</i> )			
<b>Areas affected</b> ( <i>Departments, service areas, partnerships, public</i> ).			
<b>Suggested Action</b> ( <i>Please state whether action already in place, or proposed</i> ).			
<b>Risk Score/Rating</b> (Please base your opinion on the criteria set out below:)			
Definition of Impact		Definition of Probability	
Critical 4	<ul style="list-style-type: none"> <li>• Major impact on finances</li> <li>• National media attention</li> <li>• High Service Disruption</li> <li>• Exceptional damage to reputation and public confidence</li> <li>• Multiple fatalities or permanent injuries to staff member or public</li> <li>• Prosecution of force/ major claims</li> </ul>	Almost Certain 4	<ul style="list-style-type: none"> <li>• Frequent occurrence</li> <li>• More than 80% chance</li> <li>• This will occur in most circumstances</li> </ul>
High 3	<ul style="list-style-type: none"> <li>• Serious impact on finances</li> <li>• Regional media attention</li> <li>• Significant Service Disruption</li> <li>• Significant reputational damage and public confidence</li> <li>• Single Fatality or severe injury to staff member or public</li> <li>• Serious claims/fines</li> </ul>	Likely 3	<ul style="list-style-type: none"> <li>• Regular occurrence</li> <li>• More than 50% chance</li> <li>• Expected to happen</li> </ul>
Medium 2	<ul style="list-style-type: none"> <li>• Significant impact on finances</li> <li>• Local media attention</li> <li>• Some service disruption</li> <li>• Some negative reputational consequences and public confidence</li> <li>• Death or serious injury of staff member or public</li> <li>• Significant claims</li> </ul>	Possible 2	<ul style="list-style-type: none"> <li>• Occasional occurrence</li> <li>• More than 10% chance</li> </ul>
Low 1	<ul style="list-style-type: none"> <li>• Minor impact on finances</li> <li>• Isolated complaints</li> <li>• Minor service disruption</li> <li>• Minor/contained negative consequences relating to reputation and public confidence</li> <li>• Minor injury of staff member or public</li> <li>• Minor claims/fines</li> </ul>	Unlikely 1	<ul style="list-style-type: none"> <li>• Has never happened</li> <li>• Less than 10% chance</li> </ul>
<b>Gross Risk Score</b> ( <i>Impact x Probability</i> ) (Without controls in place) =			
Impact 1-4		Probability 1-4	

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<b>Impact</b>	Critical	4	8	12	16
	High	3	6	9	12
	Medium	2	4	6	8
	Low	1	2	3	4
		Unlikely	Possible	Likely	Almost Certain/ Certain
<b>Probability</b>					
Risk Level					
Low: 1, 2, 3		Medium: 4, 6, 8		High: 9, 12	
<b>PART B (To be completed by Risk Manager)</b>					
Accepted at BTCCG:					
No:					
Yes:					
Date:					
Risk Register					
No:					
<b>Current Residual Risk Score (With controls in place)</b>					
Impact 1-4	Probability 1-4	Score	Rating		

APPENDIX 2

GWENT POLICE AUTHORITY AND GWENT POLICE STRATEGIC RISK MANAGEMENT PROCESS

