

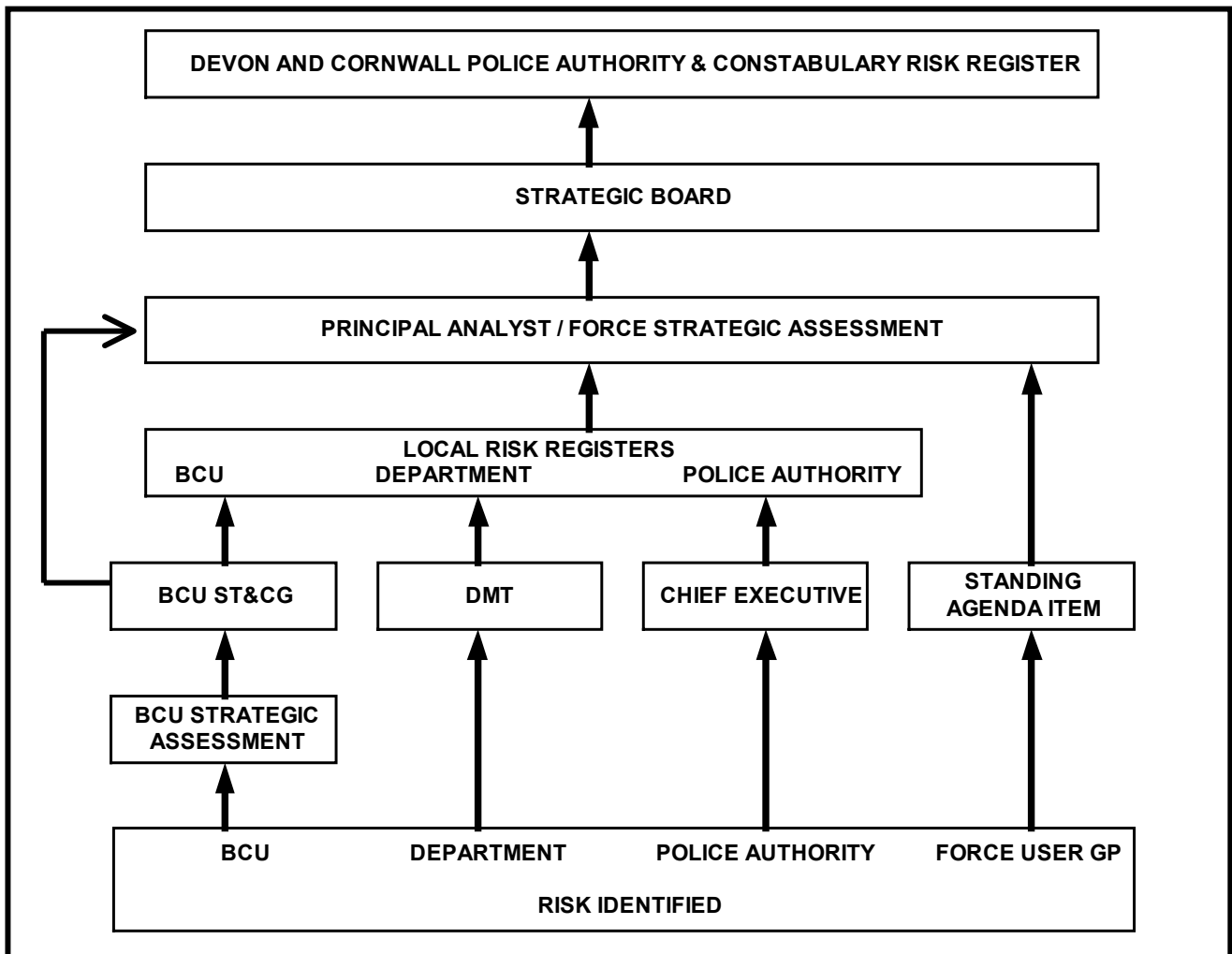
Devon and Cornwall Police Authority and Constabulary Joint Risk Management Framework For Delivery

1. Introduction

- 1.1 The management of risk is central to the service provided by Devon and Cornwall Police Authority and Constabulary (hereafter referred to jointly as the police).
- 1.2 This framework for delivery enables the police to implement the joint risk management strategy (PPS Guideline D ****).

2. Framework for Delivery

- 2.1 The framework for delivery is illustrated in the diagram below:



- 2.2 Risks are identified across the organisation, at all levels, in all areas of our business. Our existing policies and procedures deal with the vast majority of identified risks. In the case of non-operational risks these include:
- a). PPS D88 New and expectant mothers
 - b). PPS D48 First aid facilities
 - c). PPS D156 Health & safety risk assessments
 - d). PPS D186 Visiting contractors
 - e). PPS D217 Fire safety
 - f). PPS D230 Display screens
 - g). PPS D248 Young persons
 - h). PPS D265 Manual handling
 - i). PPS D270 COSHH
- 2.3 In operational policing, dynamic, generic and specific risk assessments are undertaken, dependent upon the circumstances, to manage risk. Codes of practice incorporating risk management, already exist in many areas, e.g. the Regulation of Investigatory Powers Act and the Recording & Dissemination of Intelligence Material.
- 2.4 The framework will support and not replace the existing policies. In the above examples (Para. 2.2 & 2.3), only the force authority/authorising officer, e.g. Director of Intelligence, or the chairs of the various force user groups/committees would refer those risks they assess necessary, for the attention of the Strategic Board.
- 2.5 In areas outside those referred to above, any risks identified should be raised with the line manager, who will assist the individual(s) by deciding upon an appropriate response. This would involve either:
- a). Transferring the risk elsewhere for another area of the organisation to address. This will be primarily to their line manager, but could be to other units or areas, if appropriate, e.g. health & safety matters are referred to the local representative, who refers the issue in accordance with existing health & safety policy & procedures.
 - b). Tolerating the risk by deciding that it is acceptable within the normal manner in which that particular part of the organisation operates and does not need referring on. Such a decision must be recorded by the individual making it.
 - c). Treating or terminating the risk by addressing and resolving it so that it is no longer an issue.
 - d). Adopting the risk, where it represents an opportunity, e.g. as an example of best practice. This would involve reference to the line manager to ensure that if appropriate it is shared throughout the rest of the organisation.

- e). All risks raised must be dealt with in one of the above manners.
 - f). Should options b or c be selected, the risk must be reviewed by the line manager on a monthly basis. This review must be recorded for inspection purposes.
- 2.6 Where a risk exists that cannot be dealt with in the manner described in para. 2.5, it needs to be referred for evaluation. To whom this referral is made, will depend upon where the risk is identified.
- 2.7 On a BCU, the referral is made to the business analyst, who will evaluate the risk in accordance with the corporate process. Risks that are beyond the capability of the BCU to address, must be considered for inclusion within the BCU Strategic Assessment.
- 2.8 If included in the BCU Strategic Assessment, any risk will on a quarterly basis be submitted to the BCU Strategic Tasking & Co-ordinating Group for review. Should the risk be assessed as more urgent, such that it cannot wait until the next BCU Strategic Assessment, it should be submitted direct to the BCU Strategic Tasking & Co-ordinating Group or if more urgent still, to the BCU Senior Management Team meeting (SMT).
- 2.9 The BCU Strategic Tasking & Co-ordinating Group/SMT will consider each of the risks submitted and decide upon an appropriate response, as described above in para 2.5. Where a risk will need to be reviewed, this should be undertaken on a quarterly basis.
- 2.10 In all cases where a risk is submitted to the BCU Strategic Tasking & Co-ordinating Group/SMT, it must be included within the local risk register for inspection purposes. All local risk registers will follow the corporate model, as provided by Strategic Development Department and be accessible by the Strategic Analysis & Corporate Planning Section of the Department.
- 2.11 Within a department, a similar process to that described above in para. 2.5 to 2.7 is undertaken, except that the business analyst will at that point refer the issue to their DMT for consideration, after which it will be included within the local risk register. Again a quarterly review period is to be used.
- 2.12 Within the Police Authority, all risks identified, are to be referred to the Chief Executive, for evaluation and inclusion within their local risk register.
- 2.13 Risk management is to be a standing agenda item for all force-wide user groups and strategic meetings. Should any risks be identified they should be recorded within the minutes. The frequency of review of ongoing risks will depend upon the frequency of meeting.
- 2.14 Once a risk has been raised to the local risk register, or in the case of para. 2.13, recorded in the minutes, it is the responsibility of the chair to ensure that where it requires referral beyond the command/department/authority/group the issue is notified in writing to the Strategic Analysis & Corporate Planning Section of Strategic Development Department, for the attention of the Principal Analyst.
- 2.15 Any notifications must include sufficient detail to permit an assessment of the risk to be made.

- 2.16 The Principal Analyst will consider all notified risks for inclusion within the Force Strategic Assessment and possible onward submission to the Strategic Board. Should the Principal Analyst assess the risk as of a more urgent nature, a briefing paper outlining the risk will be submitted to the next available Strategic Board.
- 2.17 Once submitted to the Strategic Board, any risk will be considered in line with para 2.5. It will then be registered, together with the decision of the board, including any actions, on the Devon and Cornwall Police Authority and Constabulary Corporate Risk Register.
- 2.18 The Strategic Board will formally review the Devon and Cornwall Police Authority and Constabulary Corporate Risk Register on an annual basis.

3. Risk Assessment Procedure

- 3.1 When a risk is identified, it needs to be assessed by the responsible role (business analyst, Principal Analyst or Chief Executive), prior to onward submission. This process requires the provision by the originator within particularly the BCU or department, of sufficient information concerning the risk, to allow an assessment to be made.
- 3.2 The individual risk is reviewed against the corporate risk categories to establish its Impact and its Probability:
 - a). Impact is a measure of the consequences that will apply if the risk becomes a reality, together with its seriousness.
 - b). Probability is a measure of how likely the risk is to occur.
- 3.3 The impact & probability scores are applied to the evaluation matrix, which will provide an overall score. This score must be recorded against the entry for the risk in the relevant risk register.

3.4 The evaluation matrix is as follows:

I M P A C T	5					
	4					
	3					
	2					
	1					
		1	2	3	4	5

PROBABILITY

3.5 By way of example, where a risk is assessed as impact 2, probability 3, it would have an overall score of 6.

3.6 A sample risk register, including one example item, is as follows below:

DEVON AND CORNWALL POLICE AUTHORITY & CONSTABULARY RISK REGISTER

No	RISK	Inherent Risk Impact & Probability	Current Risk Mitigation	Who	Residual Risk Impact & Probability	Further Risk Mitigation	Who	When by	Resources	Monitor Measure / Frequenc'	Retained Risk Impact & Probability
1	Inadequate succession planning	12	BCU/Dept HR Plans	Cdr HR	8	Job Evaluation	Cdr HR	31/03/05	None	6 Months	6
2											
3											
4											
5											
6											

4. Implementation

- 4.1 Training for the nominated roles (practitioners) will be provided by workshop, with a review of the necessity for additional training for these individuals to be undertaken following implementation.
- 4.2 The practitioners, with the assistance of Human Resources Dept, will identify the requirement and optimum method of delivery of any further training to managers, e.g. by cascade, briefing sheet or aide-memoir.

5. Ownership & Review

- 5.1 This framework for delivery is owned by the Commander Strategic Development Department.
- 5.2 It is to be reviewed on an annual basis by the Commander Strategic Development Department.