



Risk Management Policy (Surrey and Sussex) (1049/2026)

Abstract

This policy details how organisational risks, issues, and recommendations identified to Surrey Police and Sussex Police (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, issues, and recommendations (including audit actions) for both Forces are recorded and managed consistently and effectively. The aim is to reduce the frequency of risk events occurring and to mitigate the impact they may have on the services we provide and objectives the Forces have set.

1.2 Organisational risk, issue, and recommendation (including audit actions) management relates to the identification of threats which impede the Forces from achieving organisational objectives and regional and national responsibilities. These include a wide variety of actual or possible events or consequences that have the potential to threaten the performance, trust and confidence, 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 Force Risk Management Policy and associated Risk Management Strategy are key elements of the governance framework of both Forces.

1.4 The main objectives of this policy are to:

- Integrate the concept of risk management into the organisational culture of both Forces in order to facilitate the identification, management and scrutiny of risks, issues and recommendations;
- Manage risk in accordance with best practice and national guidance;
- Preserve and enhance the effectiveness of service delivery.

The main procedure below covers these areas in 3 sections.

- Section 1 Risks and Issues Procedure.

- Section 2 Recommendations Procedure.
- Section 3 Internal Audit Actions Procedure.

2. Scope

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

2.2 All members of the Force (see 1.5 of the Risks and Issues procedure for definition) have a responsibility to raise and share identified risks, which should be brought to the attention of line managers and then submitted to senior management for assessment.

2.3 “Organisational **risks**” are defined, as:

“Any 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.”

2.4 “Organisational **issues**” are defined, as:

“An actual event or series of consequences which has occurred impacting either Force and/or Police and Crime Commissioners (PCCs) 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.”

2.5 A formal **recommendation** to the Force can be received through a variety of activities including inspection by an external regulatory body (identification of causes of concern, areas for improvement), national report publications (independent inquiry, lessons, and best practice), an external or internal audit (with associated observations and/or actions) or peer review guidance.

3. Policy Statement

3.1 The Forces are committed to ensuring organisational risks, issues and recommendations 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 these 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 the Force risks, issues and recommendations and associated management processes.

Procedure

1. Risks and Issues Procedure

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

All organisational risks and issues must be documented on the Force risk management platform to ensure an accurate reflection of the challenges and opportunities faced by the Forces. This includes risks and issues identified as part of a portfolio change or transformation strategy. These must be recorded by the nominated Staff Officer, Strategic Governance, Corporate Planning Support Officer, risk / issue coordinator for division / department or Programme / Project Manager who will ensure that the risk or issue is classified, correctly described and check if it is already recorded on the Force risk management platform.

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

- Assessment of organisational risks and issues 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 or issue will be tolerated, subject to agreed rationale, ongoing monitoring and re-evaluation of Force appetite (degree of risk, or uncertainty, we are prepared to accept, tolerate or be exposed to), probability and impact.

1.3 Both Forces acknowledge that risks and issues need to be recognised and managed, rather than avoided, and that consideration of risks and issues 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 Force appetite, understanding of the potential impact and appropriate action to mitigate risks and issues where possible. Refer to Corporate Development for scoring and appetite matrix and guidance. The matrix should be utilised by Force leads in determining their risk tolerance and appropriate course of action. This is assigned at the point of entry on to the register and should be reviewed no less than once a year (but also considered at each record review point, alongside the current Force operating context).

The agreed response to the risk or issue must be recorded on the Force risk platform.

1.5 Policy Procedure - Identification

All members of the organisation have a responsibility to raise concerns which may translate into organisational risks or issues. Risks and issues may be identified that are specific to, and will only affect a department or division, a Change Programme or they

may be risks or issues that could affect a whole singular Force or both Forces jointly at a strategic level.

Members of the organisation must raise risks with their Line Manager (or Programme Manager) for consideration at the appropriate meeting channel such as Divisional / Departmental Command Team, Senior Leader Team Meeting or Programme Board within their portfolio and/or division. It is acknowledged that a senior officer or member of a management team is most likely to identify an organisational risk or issue.

Heads of Department and/or Senior Portfolio Officers are responsible for identifying, logging and managing departmental risks and issues which can be discussed and monitored via the appropriate meeting channel.

1.6 Policy Procedure - Escalation

Risk will be escalated to strategic classification (Force level) based on the following factors:

- Substantial link to Force priority delivery
- Strong link to article 1 and/or 2
- Significant impact on public trust and confidence repercussions
- Wider implications than change or departmental level
- Risk / issue treatment cannot be managed by the change programme and/or department

Heads of Department and/or Senior Portfolio Officers must escalate proposed strategic risks or issues for consideration of strategic classification by the appropriate Chief Officer and/or their Staff Office. This can be a new strategic entry proposal or a change or departmental level risk or issue escalation.

Corporate Development Departments (CDD) of both Forces will ensure that relevant new strategic risks and issues are brought to the attention of the Sussex Strategic Planning Board (SPB), Sussex Organisational Reassurance Board (ORB) and Surrey Risk Assurance Board (RAB).

1.7 Policy Procedure - Classification

Record classification options and approval levels.

Classification Information	Entry to register and Closure Approval	Chief Officer	Head of Department / Senior Lead	Programme Manager
Scope	Type	Strategic	Department	Change Delivery

Joint (both Forces) or single Force (Surrey or Sussex specific)	Risk	Extensive effect or a broad impact across the organisation, that effects the capability in achieving Force objectives.	Contained within that department, risks that could have an effect on the fundamental activity and capability of the department or division to meet its objectives.	Currently contained within a live change programme or project. Could impact the delivery of the programme's objectives. Any residual risk remaining at the point of programme / project closure will be considered to determine if appropriate to re-classify as Department or Strategic.
	Issue	Either extensively affecting, or having a broad impact across the organisation, that is effecting the ability to meet Force objectives.	Affecting the ability of that department alone to meet its objectives.	Affecting the change programme or project.

For guidance on the different levels of risks and issues and information required Corporate Development new risk issue template.

1.8 Policy Procedure – Articulation

There is a requirement to identify the “cause” and “effect” of each risk or issue identified. Example given below:

Risk or Issue Statement		
The Event	Cause	Consequence
The trigger for the risk or issue.	The base reason why something could or is happening.	How will this impact the organisation, there can be a few or many implications. Such as ability to meet priority delivery, financial,

		regulatory, legal, or reputational.
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1.9 Risk and Issue Management

Each record requires an appropriate officer / member of police staff (the owner) assigned who will be responsible for responding to / controlling / mitigating the risk or issue. (N.B. access to the Force risk management platform is restricted to senior officers and managers and individuals defined as owners, responsible managers, control owners, portfolio staff officers, strategic supports or risk / issue co-ordinators and Corporate Development Department representatives).

1.10 Closure of Risks and Issues

All closures must be recorded on the Force risk management platform, confirming authorisation by the appropriate level member of the organisation with supporting rationale and any learning points that have arisen as a consequence of managing the risk or issue. The Strategic Governance Team in Surrey and the Corporate Planning Team in Sussex will oversee the closure of all strategic and department risks and issues on the Force risk management platform and report closed records and any learning points to the designated board. Lessons learned can also be shared with organisational learning leads where appropriate for consideration. Change Delivery record closures are retained within the appropriate programme / project meeting cycle.

1.11 Role of Corporate Development Departments

The Strategic Governance Team in Surrey and the Corporate Planning Team in Sussex will oversee the risk and issue management process:

- Reviewing and updating strategy and policy.
- Oversight of the Force risk management platform.
- Fortnightly review of new entries on the Force risk management platform.
- Advising senior officers and business leads in relation to risk and issue management.
- Facilitation of reporting to accountability and Chief Officer boards.
- Work closely with Chief Officer Teams and nominated staff officers, strategic supports, and risk / issue co-ordinators, including appropriate training.
- Provide oversight of portfolio risk management and indication of where Force Lead action is required.
- Coordinate the annual assurance review.
- Attendance and liaison with National Police Chiefs' Council (NPCC) National Risk Forum and onward sharing of relevant information with the Force to consider and determine where appropriate action is required.

- Assist in horizon scanning activity.

1.12 The management process will be overseen in Surrey Police by the Strategic Governance Manager and in Sussex Police by the Corporate Governance and Risk Manager.

1.13 The Role of Meetings in Managing Risks and Issues

The strategic / portfolio accountability boards chaired by Chief Officers will:

- Review the strategic risks and issues for the portfolio area to ensure they are being managed effectively, this is to include;
- Articulation and classification of risk / issue remains appropriate (strategic or departmental, risk or issue and that the description sufficiently outlines the current situation).
- Current and anticipated score review and appropriate appetite.
- Timeliness of updates.
- Sufficiency of control mitigations.
- Whether suitable progress is being made (in line with Force appetite).
- Identify and record any new risks and issues 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 consideration as to whether the risk or issue is a strategic level for the Force(s) will be taken by the Chief Officer portfolio lead and reflected on the Force risk management platform.
- Review of portfolio risks and issue closures to ensure satisfied appropriate supporting rationale.
- In Sussex the strategic risks and issues are also featured as a monthly agenda item within the Deputy Chief Constable (DCC's) Strategic Planning Board where appetite and tolerance can be discussed more frequently than the quarterly Sussex ORB.

1.14 Sussex Organisational Reassurance Board (ORB) and Surrey Force Assurance Board (FAB)

The DCC of each Force, as Chair of the above mentioned boards retains the responsibility on behalf of the Chief Constable for ensuring that robust risk and issue management processes are in place across their respective Force and that management practices are adhered to.

1.15 The ORB / FAB in each Force has an agreed Terms of Reference. The Terms of Reference covers the establishment and maintenance of an effective system of

integrated governance, risk management and internal control. To ensure effective and robust risk management processes are in place across the Force and that risk management practices are adhered to.

1.16 The ORB / FAB in each Force will review the strategy, policy and through the assurance process will consider any recommendations to improve the organisation's effectiveness to respond to risk-based decision-making.

1.17 The ORB / FAB in each Force, which meets as per their agreed terms of reference, will review the Force's strategic risks and issues to ensure that they are being correctly identified and managed, with greater scrutiny on critical risks affecting the Force.

1.18 The ORB / FAB in each Force will provide an opportunity for review and formal approval for the Force's strategic risks and issues and the agreed appetite.

1.19 Regular monitoring reports (every six months) will be considered by the ORB / FAB to provide assurance that department risks and issues are being reviewed regularly by owners, control strategies are live and effective and that the risk register reflects the true picture of current risks and issues faced by the Force.

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

1.21 Joint Audit Committee (JAC)

The Surrey Joint Audit Committee (JAC) and the Sussex Joint Audit Committee (JAC) are responsible for reviewing the comprehensiveness of assurances relating to efficient, effective, and adequate risk and issue assurance framework for both the relevant PCC and Chief Constable. They provide assurance that the management arrangements that are in place are adequate to effectively manage organisational risk and to monitor progress in addressing related issues reported to the Committee.

1.22 Risk and issue reports are prepared by relevant Corporate Development Departments and presented to the JAC at each quarterly meeting.

2. Recommendations Procedure

2.1 Recommendations that have been identified by external bodies such as His Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS), the Independent Office for Police Conduct (IOPC), internal auditors etc. are required to be logged on the Force risk management platform and scored according to their priority level as per the Joint Risk Management Strategy which can be found in Corporate Development.

2.2 Consideration by the relevant Chief Officer will also be given to the recording and monitoring of other relevant recommendations such as Peer Reviews and Independently Commissioned Public Reviews. This is agreed via the relevant Accountability Meeting or ORB / FAB.

2.3 Both Forces will take appropriate action and respond to recommendations identified. A senior officer or member of a management team is identified to own the recommendation, this is to be based on the most appropriate portfolio.

2.4 An initial assessment should be conducted by the Chief Officer to establish the current position of the Force in relation to the recommendation. The positional return summary must include narrative findings, assessment of risk, immediate or urgent actions (where relevant) and plans to address findings with associated governance arrangements.

2.5 HMICFRS specific recommendations for Forces require a formal 56 day response which is co-ordinated by the relevant Corporate Development Department using the positional summary return noted in 2.4 and shared with the relevant Office of Police Crime Commissioner.

2.6 On occasion other external organisations' recommendations may require a formal response, such as Super-Complaints, which is co-ordinated by relevant Corporate Development Department.

2.7 Role of Corporate Development Departments

The Corporate Development Department in both Forces will oversee the recommendation management process:

- Reviewing and updating strategy, policy, and the management process.
- Oversight of the Force risk management platform.
- Entry of new recommendations on to the Force risk management platform.
- Advising senior officers and business leads in relation to recommendation management.
- Facilitation of reporting to accountability and Chief Officer boards.
- Work closely with Chief Officer Teams and nominated staff officers, strategic supports, and risk co-ordinators.
- Provide oversight of portfolio recommendation management and indication of where Force Lead action is required.
- Independently reviewing recommendations and progress.
- Liaison with HMICFRS and maintenance of the HMICFRS monitoring portal.
- Oversight of sign off and closure process (see closure template).
- Assist in horizon scanning activity.

2.8 In both Forces the Corporate Development Department holds the responsibility of Force Liaison Officer (FLO) roles.

2.9 The Role of Meetings in Managing Recommendations

The strategic / portfolio accountability boards chaired by Chief Officers will:

- Review the recommendations for the portfolio area to ensure they are being managed effectively, this is to include;
- Timeliness of updates and completion / implementation.
- Sufficiency of evidence to support.
- Closure summaries in line with the target completion dates.
- Additional scrutiny of those recommendation exceeding the external body target completion date, ensuring rationale is provided and a best estimate date for implementation / satisfactory closure.

2.10 Sussex Organisational Reassurance Board (ORB) and Surrey Force Assurance Board (FAB)

The Deputy Chief Constable (DCC) of each Force, as Chair of the above mentioned boards in each Force, retains the responsibility on behalf of their respective Chief Constable for ensuring that robust recommendation management processes are in place across their respective Force.

2.11 As per Risks and Issues Procedure 1.15 management is featured within the Sussex ORB and Surrey FAB Terms of Reference.

2.12 The ORB / FAB in each Force, which meets as per Terms of Reference, will review the recommendations to ensure they are being identified, managed, and completed in a timely manner.

2.13 The ORB / FAB can provide a consultative function relating to Peer Reviews to determine where any associated recommendations are managed and tracked.

2.14 Joint Audit Committee (JAC)

Recommendation reports are prepared by the Strategic Governance Team in Surrey and the Corporate Planning Team in Sussex and presented to the JAC at each quarterly meeting for awareness and opportunity for further information to be requested if required for assurance purposes.

3. Internal Audit Actions Procedure

3.1 All Internal Audit agreed actions are required to be recorded on the Force risk management platform. They are recorded as a recommendation using the sub category

Internal Audit Actions and scored based on their assurance grading as per Joint Risk Management Strategy which can be found via Corporate Development.

3.2 Both Forces will take appropriate action and response to internal audit agreed actions.

During the audit closure meeting a senior officer or member of a management team is agreed and confirmed in the final audit report. The action owner will be responsible for:

- the articulation of appropriate Specific, Measurable, Achievable, Relevant, Timely (SMART) actions to address the observations and risks identified by the internal audit team. The action description should include details of the individual steps required and associated timescales which align with the overarching action target completion date.
- the Chief Officer to review and endorse final audit reports to confirm they are satisfied with the actions articulated, the prioritisation assigned, and the timescales committed to.
- the completion of the action/s in the agreed completion date.
- appropriate updates detailing progress.
- closure rationale and completion of a closure template (see template).
- if an action becomes overdue a realistic revised target completion date must be agreed and recorded with suitable justification and revised timescales, approved by the relevant Portfolio lead.

3.3 Role of Corporate Development Departments

The Corporate Development Department in both Forces will oversee the internal audit management process:

- Reviewing and updating strategy, policy, and the management process.
- Oversight of the Force risk management platform.
- Provision of ongoing support to the internal audit management team, to facilitate relationship liaison, progression of audit activity and rigour of audit action monitoring.
- CDD provide regular risk register export information to aid the audit planning cycle.
- Internal auditors provide updates on annual audit cycle progress to CDD to allow monitoring of progress and information updates supplied to appropriate strategic and portfolio boards.
- CDD provide information to Portfolios and Force Leads at key points in audit cycle such as intervention at audit close and draft report finalisation stages to encourage SMART actions with realistic achievable target dates.

- Entry of new Internal Audit Reports and associated actions on to the Force risk management platform.
- Facilitation of reporting to accountability and Chief Officer boards.
- Work closely with Chief Officer Teams and nominated staff officers, strategic supports, and risk / issue co-ordinators, including appropriate training.
- Provide oversight of portfolio internal audit action management and indication of where Force Lead action is required.
- Independently reviewing actions and progress.
- Oversight of sign off and closure process (closure template).
- Assist in horizon scanning activity.

3.4 The Role of Meetings in Managing Audit Actions

The strategic / portfolio accountability boards chaired by Chief Officers will:

- Review the audit actions for the portfolio area to ensure they are being managed effectively; this is to include:
 - Timeliness of updates and completion / implementation.
 - Sufficiency of evidence to support.
 - Closure summaries in line with the target completion dates.
- Additional scrutiny of those audit actions exceeding the agreed target completion date, ensuring rationale is provided and a best estimate date for implementation / satisfactory closure.

3.5 Sussex Organisational Reassurance Board (ORB) and Surrey Force Assurance Board (FAB)

The Deputy Chief Constable (DCC) of each Force, as Chair of the above mentioned boards, retains the responsibility on behalf of their respective Chief Constable for ensuring that robust audit action management processes are in place across their respective Force.

3.6 As per Risks and Issues Procedure 1.15 audit action management is featured within the above mentioned boards Terms of Reference.

3.7 The ORB / FAB in each Force, which meets as per Terms of Reference, will review the audit actions to ensure they are being identified, managed, and completed in a timely manner.

3.8 Joint Audit Committee (JAC)

Internal Audit reports are prepared by the Strategic Governance Team in Surrey and the Corporate Planning Team in Sussex and presented to the JAC at each quarterly meeting.

4. Links

4.1

The current risk strategy, scoring and appetite matrix, user guide, new risk / issue template and closure templates can be found via Corporate Development.

Team: Corporate Development Department.