

Chapter: **Legislation and Policy**

Classification: **Public Document**

Subject: **Enterprise Risk Management (ERM)**

For: **Correctional Services Division**


Authorized by the Executive Director

Policy

- 1 Correctional Services is committed to taking a proactive, structured and consistently integrated approach to managing risks across all operations using the Enterprise Risk Management (ERM) framework.
- 2 An ERM framework promotes the achievement of organizational goals by identifying, assessing, managing, and monitoring risks while assessing the impact risk has on the achievement of strategic and operational objectives.
- 3 The Risk Management Steering Committee (RMSC) consists of the
 - (a) Executive Director
 - (b) Director, Adult Facilities
 - (c) Director, Community Corrections
 - (d) Director Policy & Programs
 - (e) Director Operations & Administration
 - (f) Strategic Advisor Occupational Health & Safety
- 4 The Strategic Advisor Occupational Health & Safety is the Chief Risk Officer (CRO) for the division and will provide oversight of the division's ERM framework and processes.

Purpose

- 5 Utilizing Enterprise Risk Management (ERM) within Correctional Services will
 - (a) inform and enhance decision-making by providing a comprehensive objective view of risks, with the aim of improving safety and organizational performance
 - (b) promote awareness and communication regarding risk within the organization
 - (c) foster a culture of risk awareness and proactive management of residual risk

Definitions

- 6 **Divisional Risk Registry:** is a matrix of divisional risk events, causes, impacts, controls, risk ratings, and treatment strategies managed by the Strategic Advisor Occupational

Chapter: **Legislation and Policy**

Classification: **Public Document**

Subject: **Enterprise Risk Management (ERM)**

For: **Correctional Services Division**


Authorized by the Executive Director

Health & Safety or designate.

- 7 **Chief Risk Officer (CRO):** is the primary risk manager for the division and oversees the Enterprise Risk Management (ERM) framework.

Risk Management Responsibilities

- 8 A detailed description of roles and responsibilities can be found by accessing the Risk Management Guidelines ([1.02.00-A](#)) document.

Divisional Risk Register

- 9 Correctional Services will implement and maintain a Divisional Risk Registry which
- (a) adequately identifies
 - i. the division's risks,
 - ii. prioritizes risk according to the potential effect on the division,
 - iii. provides an interactive view of risk,
 - iv. for risk owners,
 - v. forms a matrix to manage risks.
 - (b) will be managed by the CRO in consultation with the Risk Management Steering Committee.

Enterprise Risk Management Process

- 10 The evolving nature of risk necessitates a continuous improvement approach. To ensure the Divisional Risk Registry accurately reflects the status of individual risks, any change in Policy, SOP, or process, including a decision or direction, which physically or practically alters the current state of any operation, will be proactively conveyed to the CRO prior to implementation.
- 11 The CRO will advise how any proposed change to operations may impact risk and the achievement of operational and strategic objectives.
- 12 The ERM Flowchart ([1.02.00-B](#)) details the consultation process to any change proposed

Chapter: **Legislation and Policy**

Classification: **Public Document**

Subject: **Enterprise Risk Management (ERM)**

For: **Correctional Services Division**


Authorized by the Executive Director

or being implemented.

- 13 To ensure compliance with Violence in the Workplace Regulations, the ERM framework and risk register format will be used for all violence risk assessments.

Internal Audit Support

- 14 In accordance with [Policy 5.01 Audits Inspection Process Improvement Reviews](#), audits may be requested in relation to events or occurrences in order to determine an objective present risk rating.
- 15 The Strategic Advisor Occupational Health and Safety may develop and/or request additional audits or reviews in consultation with the Executive Director, Correctional Services

Review & Reporting

- 16 The Divisional Risk Register will be maintained by the CRO through continuous monitoring and reporting. This includes risk events, risk trends and the impact of risk treatment applied.
- 17 The CRO will have oversight of the ERM policy and associated processes to ensure their continued relevance and effectiveness.

Requirements for consultation

- 18 Consultation with the CRO is required when any decision or initiative may affect the division's mission, goals, strategic direction or risk appetite including
 - (a) development or revision of strategic plans, priorities, or objectives
 - (b) introduction of, or significant alterations to, programs, services, or operational approaches
 - (c) decisions that may have significant impact either operationally, strategically, financially or are classified as hazard risk
- 19 Major projects or initiatives where risk outcomes could influence long-term performance including
 - (a) renovations

Chapter: **Legislation and Policy**

Classification: **Public Document**

Subject: **Enterprise Risk Management (ERM)**

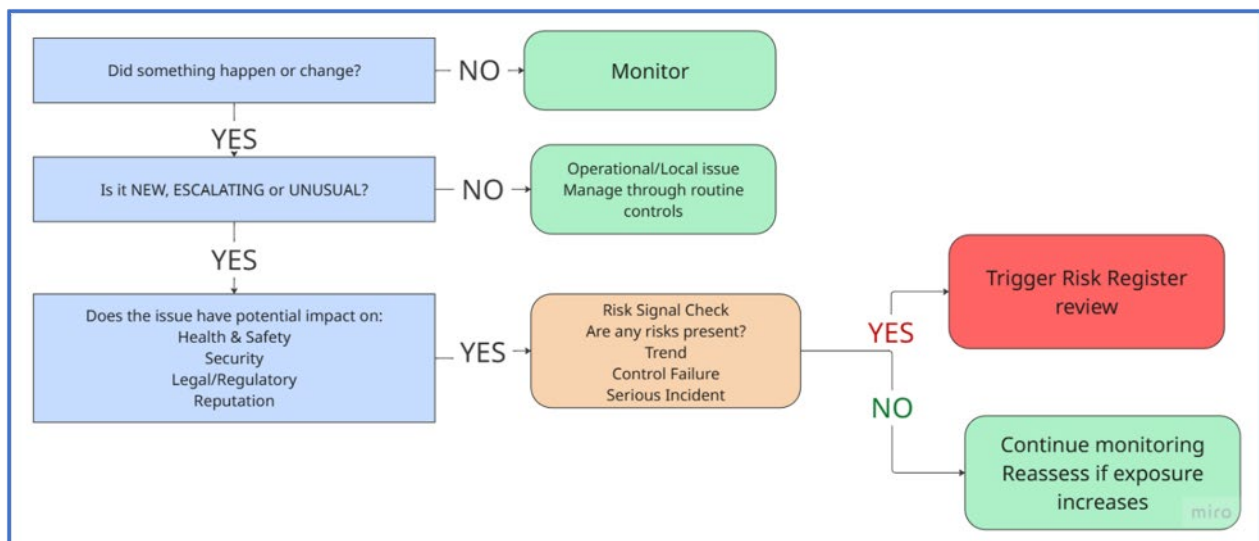
For: **Correctional Services Division**


Authorized by the Executive Director

- (b) moving to a different location
- (c) violent or major incident/ disturbance
- (d) change to law or regulatory requirements
- (e) major change to regular operations
- (f) activation of emergency response plans
- (g) audit findings
- (h) emerging risks

Decision tree

20 The ERM Screening Decision Tree is a front-line triage mechanism consistent with the ERM framework.



21 Prior to making any decisions or commencing any new initiatives as outlined and in accordance with section 18 of this policy, the following questions will be considered.

- (a) Is it routine, isolated, and controlled? If yes, it can be actioned without CRO consultation.
- (b) Is it changing, spreading, or failing controls?

Chapter: **Legislation and Policy**

Classification: **Public Document**

Subject: **Enterprise Risk Management (ERM)**

For: **Correctional Services Division**


Authorized by the Executive Director

- (c) Is this new or getting worse?
- (d) Does it matter beyond my unit (safety, legal, reputation)?
 - i. If the response is **YES** to two or more of the above criteria, consultation with the CRO is required prior to proceeding.