



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE
10/31/23

PAGE NUMBER
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NUMBER
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POLICY

TITLE
ENTERPRISE RISK MANAGEMENT

REVIEW/REVISION HISTORY:

Effective: 9/1/16
Revised: 9/2/21
Revised: 10/31/23

SUMMARY OF REVISION/REVIEW:


Major changes to align with standards established by the Washington State Department of Enterprise Services. Read carefully!

APPROVED:

Signature on file

CHERYL STRANGE, Secretary
Department of Corrections

10/3/23
Date Signed

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REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [RCW 43.19.760](#); [RCW 43.19.781](#); [RCW 43.19.782](#); [Governor's Executive Order 16-06](#); [SAAM 20.20](#)

POLICY:

- I. The Department has established an Enterprise Risk Management (ERM) program that provides a framework to proactively identify, assess, and manage risks to the extent reasonably possible within available resources that may affect the Department's ability to achieve its mission, goals, and strategic objectives.
- II. The Department will provide ERM support for safety and loss control and develop awareness through training and information sharing.

DIRECTIVE:

- I. Responsibilities
 - A. The Risk Management Director will:
 1. Oversee and maintain the ERM framework,
 2. Develop guidelines and procedures to identify, prioritize, and treat risk using ERM principles,
 3. Assist risk owners to score and prioritize risks per standards established by the Department of Enterprise Services,
 4. Update the ERM Plan annually by September 1,
 5. Facilitate risk identification, assessment, and prioritization,
 6. Document identified risks, risk analysis, and risk treatments in a risk register,
 7. Encourage using metrics to evaluate the effectiveness of risk treatments, and
 8. Advise the Deputy Secretary/Secretary of trends and emerging issues.
 - B. Risk owners will:
 1. Review the risk register annually,
 2. Ensure risks are being actively managed,
 3. Ensure that risk treatments are appropriate and effective,

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4. Support risk treatment activities within available resources,
5. Support ERM training, and
6. Determine the Department's risk tolerance.

C. Managers/supervisors/administrators will support the culture of ERM by:

1. Applying ERM in all aspects of Department operations,
2. Setting standards and expectations for employees/contract staff regarding conduct and risk inquiries,
3. Initiating and participating in risk identification and assessment activities, and
4. Advising the Deputy Secretary/Secretary of changes in risks or when changes to risk treatments are needed.

D. Employees/contract staff will:

1. Collaborate and share information, methods, and procedures to support and implement ERM, and
2. Report any procedure, incident, observation, or function that may be perceived as exposing the Department to significant risk.

DEFINITIONS:

Words/terms appearing in this policy may be defined in the glossary section of the Policy Manual.

ATTACHMENTS:

None

DOC FORMS:

None