

## **POLICY ASSESSMENT FORM**

### **SECTION A – Initial Assessment**

**1 Policy/Standard Operating Procedure (SOP) Title**

Application Management Policy

**2 What is the purpose of the policy and procedures? Why do we need a policy?**

To ensure that a stable, repeatable and auditable process exists, whereby business applications/software systems are managed throughout their entire lifecycle and their benefits can be fully exploited by the organisation.

**3 Who or what body has asked for a policy?**

The DCC

**4 What evidence exists to show that a problem exists which requires a policy/SOP? What potential risks are there in not having this policy?**

Without a common policy the organisation lacks a standard approach to the management of business applications, which are therefore exposed to a higher degree of risk from operational issues (for example unforeseen maintenance due to design deficiency, or need for enhancement owing to lack of fitness for purpose) and unplanned funding (such as unanticipated third party support costs encountered as a result of contractual discrepancies). Introduction of standardised planning and governance mechanisms enables performance to be improved and benefits to be exploited, which in turn maximises potential return on investment and value for money.

**5 How does the policy fit in with BTP objectives (Policing Plan/Strategic Plan)?**

This policy aligns with and supports the BTPA Strategic Plan (2008-11) by increasing efficiency, improving quality and reducing cost, for which the following principles apply:

- Collating and evidencing efficiency gains in BTP (**Control – CC11 - Deputy Chief Constable**)
- Improving compliance with BTP's policy and procedures (**Control – CC14 - Deputy Chief Constable**)
- Ensuring that all BTP projects are managed properly, so their outcomes provide best value and improve what we do (**Control – CC19 - Deputy Chief Constable**)
- Improving the resilience and capacity of the technology infrastructure in order to support service delivery more effectively, including a more coherent approach to application management and consideration of video conferencing (**Control – CC30 - Deputy Chief Constable**)
- Ensuring that BTP's Information Management Strategy is compliant with Management of Police Information (MOPI) requirements, and provides a co-ordinated approach to information, information systems and information technology (**Control – CC32 - Deputy Chief Constable**)

**6 Who will it affect and in what way?**

All designated Application Managers will officially administer the business systems to which they have been assigned and for which their Senior Responsible Owners are accountable. Additionally their deputies, line managers, and members of the Technology department will be directly (and indirectly) engaged in the process.

**7 What policies, procedures or guidance already currently exist and what BTP policies are relevant / linked to this?**

Related policies are already in place regarding Information Security and Data Protection, for which SOPs exist. This policy supports these and reinforces the observance of ITIL in accordance with ISS4PS, as do the existence of Service Support and Service Delivery strategies within Technology.

**8 Identify the key elements of the policy/SOP**

- a defined means of evaluating the deployment of business applications
- formal assignment of actions and responsibilities within the domain of Application Management

## **SECTION B – Drafting of Policy/SOP**

**9 Please outline who and how you have consulted and/or plan to consult.**

The creation of the Application Management portfolio was originally requested by the CIO and approved by the Force Information Management Board (IMB) and the DCC, in his capacity as Chair of the IMB. Existing SROs were consulted and have demonstrated accountability for business systems falling under their control by nominating AMs to take responsibility for them.

This document is being submitted for approval in accordance with BTP policy.

**10 Does the policy have a part in:**

- a) **Eliminating unlawful discrimination?** Yes
- b) **Promoting equality of opportunity and positive attitudes?** Yes
- c) **Promoting and encouraging good relations between people of different groups?** Yes

**11 If no, please provide a brief explanation why.**

**12 Overall assessment of policy for Equality Impact Assessment purposes and explanation.**

This policy is neutral in content, relates to internal governance and has no direct bearing on potential diversity or equality issues. There should be no requirement for any special considerations therefore. It supports and upholds the Procurement and forthcoming Disability Policy & SOP, by ensuring that decision making processes within Application Management pay due regard to the needs of individuals.

**13 Please identify and list the potential risks**

**a) inherent in the policy**

Rather than introduce risk, the intention of this over-arching policy is to provide a mechanism to alleviate it. This will be achieved by establishing controls through which successful management of business applications can be maintained by nominated personnel, using a process that is transparent and easily understood.

Since Application Managers are formally adopting this responsibility as a secondary function of their main role, there is an inherent risk that insufficient time, resource or priority will be made available for it. It is also possible that some applications will be unable to comply with the prescribed degree of governance for historic reasons.

**b) if the policy is not adhered to or implemented correctly**

Compliance with the risk measurement framework will be controlled via a SOP and enforced by the Force Applications Manager via system governance factors referred to therein. Deviation from the required standard will be made visible through an intranet portal and raised bi-monthly at the IMB for appropriate action to be taken.

Failure to comply with the policy is likely to result in insufficient control and accountability over business systems and will therefore be subject to scrutiny.

**Please give a risk rating for each of these and describe how these risks could be mitigated.**

- a) Medium risk due to unforeseen pressure of primary responsibilities
- b) Medium risk due to unforeseen pressure of primary responsibilities

**14 State how this policy will be monitored and reviewed for a) compliance b) effectiveness c) satisfaction and d) impact on communities. Who will be responsible for this monitoring?**

- a) Following evaluation and setting of initial status for each application, compliance with the risk measurement framework will be monitored continuously by the Force Applications Manager.
- b) The effectiveness of the policy will be demonstrated by the RAG (Red/Amber/Green) status report for any given application, indicating a lower degree of associated risk.
- c) The level of satisfaction with the policy will be determined by surveying the AMs to invite feedback on their preparation for the role, degree of buy-in and their understanding of what it entails.
- d) Impact on affected parties will be measured by their ability to accommodate the necessary actions alongside their primary role.

The Force Applications Manager reports to the Chief Information Officer who owns this policy. Once implemented variances from the defined policy will be communicated every 2 months to the IMB.

**15 State how this policy will be implemented and communicated.**

This policy is designed to introduce and promote governance of BTP's IT applications under the ITIL framework, in compliance with ISS4PS. These systems have previously fallen outside the remit of Technology and consequently control and accountability has been provided by the business via unstructured, uncoordinated and unauditable means.

The SOP content will be finalised through collaboration with Application Managers, however some training will be provided to ensure that all Application Managers are conversant with the requirements and expectations of this role - this will be assembled and coordinated via Technology.

The policy and SOP will be implemented and communicated by the Force Applications Manager and reinforced by the Information Management Board. It will be promoted on the Intranet Home Page and the BTP Policies Page for an initial period. A link to the Policy and SOP will be permanently available on the ICU Policy and Procedural pages.

**16 Does this policy have any Human Rights Act implications? No**

**17 Does this policy have any Freedom of Information Act implications? No**

**18 Does this policy have any financial/resource implications? Yes, in that nominated Application Managers will be formally required to absorb additional duties under their existing roles.**

**19 Does this policy have any Data Protection Act implications?** Yes, by improving compliance to security and data management principles.

**20 Does this policy have any Health & Safety implications?** Yes, due to an increased workload on staff.

**21 Does this policy have any Welsh Language Act implications?** No

**22 Does this policy have any other legislative implications?** No

**Owner: Stuart Cook**

**Signature:**

**Department: Technology**

**Date: 23/09/08**

**Contact details for further information:** [stuart.cook@btp.pnn.police.uk](mailto:stuart.cook@btp.pnn.police.uk) x48847

**Head of Department**

**Signature:**

**Name: Andrew Watson, Chief  
Information Officer**

**Date: 23/09/08**

**Department: Technology**

**Contact details for further information:** [andrew.watson@btp.pnn.police.uk](mailto:andrew.watson@btp.pnn.police.uk)

**Policy start date (mm/yy): 10/08**

**Policy review date (mm/yy): 10/11**

**Policy review date:** 3 years from applicable date (2011)

**TO BE COMPLETED BY POLICY MANAGEMENT UNIT AND CHIEF OFFICER:**

**Policy Manager:** Devika Nair

**Signature:**

**Date:** 23 September 2008

**Chief Officer Portfolio:**

Signing this form authorises the publication of this policy on our external website, unless marked restricted.

The applicable date for this policy will be ..... from the date of return to the Policy Manager

**Signature:**

**Date:**

**Please return to the Policy Manager**

## GUIDANCE NOTES

- 1 The title should be clear, unambiguous and unique.
- 2 The owner and panel should be able to clearly and concisely state the realistic intended, outcome of the policy/SOPs. It is very important to understand the meaning of a policy. British Transport Police (BTP) policies comprise of a policy statement. This is usually a 2-3 page brief statement of BTP's direction in delivering the aims contained in the Vision Statement which encapsulate the aspirations of the BTP in achieving its high level organisational goals.  
The policy statement is made available to the public on the BTP website. SOPs would be the specific instructions and procedures which implement the directives included in the policy.
- 5 The policy and procedure should support the BTP Policing Plan/Strategic Plan and Crime/Operational Objectives. If it clearly cannot be linked to either of these the author should question the need for the policy and SOP.
- 7 There may be an existing policy that partially or totally covers the aim of the new policy. SPPCU will be able to assist with this check, but it would be beneficial for the author to carry out some initial checks. Please provide details of other BTP policies associated/linked with this policy. This is particularly important to ensure there will be no contradiction with or duplication of existing policies and to inform the reader of other policies to be aware of.
- 8 The owner and panel must identify and summarise the key elements of the policy and SOPs. This will make it easier to identify groups or individuals that can assist in drafting the policy and SOPs.

- 10** BTP has specific duties under the Disability Discrimination Act 2005 and the Race Relations Amendment Act 2000 to ensure we have a mechanism for assessing the impact of all policies and procedures. The purpose of this is both to ensure that BTP's decisions and activities do not disadvantage people of different groups, and also to identify where the policy or procedure might better promote equality of opportunity. Where a negative impact is identified, or missed opportunity to achieve a more positive impact is identified, this indicates that BTP should have due regard to the need to amend the policy or procedure. A similar duty for the Gender Equality Duty will be in place from April 2007.

Please consider potential impact on those who the policy is intended to affect and their backgrounds (e.g. race, ethnicity, gender, disability, sexual orientation, age, learning difficulties, faith, religion, and economic/social status). It is beneficial to involve those who might have an interest in the policy into the process at an early stage. Consideration should be given to both internal (including staff associations and support networks) and external individuals and organisations. Early consultation may change the focus of the policy to reduce changes at a later stage.

- 11** It is necessary to record the reasons for not undertaking an equality impact assessment.
- 12** This is where the decision taken is recorded. The policy will be graded high, medium or low. This is a subjective decision taken by the policy panel based upon the previous questions and the panel's interpretation of the contents of the draft policy and procedures.

High priority policies:

A policy/SOP will be classified high priority if it applies to all parts of the Race Equality and Disability Equality Duty and/or there is sufficient evidence that some groups are or could be differently affected and/or the policy is likely to raise public

concern about potentially discriminatory practices. The policy/SOP should be reviewed every year. An equality impact assessment form must be completed for high priority policies.

Medium priority policies:

Medium priority policies/SOPs will need a full impact assessment but the time taken on consultation and amount of evidence collected should be proportionately less. The policy/SOP should be reviewed every two years. If this assessment is not sufficient, please use the equality impact assessment form to record all consultation and outcomes of assessment.

Low priority policies/policies not relevant to the duty:

Internal consultation is sufficient for low priority policies. The policy/SOP should however be monitored for any changes. It should be reviewed every three years.

- 13 Please refer to the Risk Management Policy ([D50039](#)) for guidance on identifying and rating risks. This section will be addressed at the Policy Assessment meeting by 'brainstorming' potential risks and then rating them.
- 14 A monitoring plan will depend on the level of impact / risk of the policy and will consider possible indicators and auditing methods to check whether the policy is being complied with in the correct manner.

Monitoring allows you to test:

- Compliance with the policy
- Effectiveness of the policy in achieving desired outcomes
- Potential risks arising from the implementation of the policy

- Levels of satisfaction with the policy
- How particular groups may be affected by the policy.

Be proportionate:

- The amount of time and effort spent monitoring a policy should be proportionate to the impact of the policy.

Please seek advice from the Strategic Planning and Policy Co-ordination Unit (SPPCU). Please consult the Performance & Monitoring Unit, Community and Race Relations and Quality of Service Research (SPPCU).

**15** Newly developed policies need an implementation plan. Reviewed policies will need one if there have been significant changes to the policy/procedure or if problems with compliance have been identified with the review.

The implementation plan should consider training and development needs, staffing requirements, actions to mitigate risks, etc.

A communication strategy (considering different ways to publicise and market the policy – including who the target audience is and how long any promotional campaign will last).

**16-22** Please seek advice from the policy co-ordinator with regard to who to consult on these considerations.

**Please note this document will be made available to the public alongside the policy as part of the Equality Impact Assessment.**