

Lincolnshire Police

Policy Document



Business Case Policy

PD 29 (8)

Code of Ethics

All staff involved in carrying out functions under this policy and associated procedures and appendices will do so in accordance with the principles of the Code of Ethics. The aim of the Code of Ethics is to support each member of the policing profession to deliver the highest professional standards in their service to the public.

Reference Number:	PD 29
Policy Sponsor:	DCC
Policy Owner:	Tim Dawson, Continuous Improvement Manager, Strategic Development
Author:	Tim Dawson, Continuous Improvement Manager, Strategic Development
Publication Date:	March 2018
Review Date:	March 2020

Version:	Date:	Reason For Issue:
8	March 2018	Review of Policy

Legislative Compliance

This document has been drafted to comply with the principles of the Human Rights Act. Proportionality has been identified as the key to Human Rights compliance, this means striking a fair balance between the rights of the individual and those of the rest of the community. There must be a reasonable relationship between the aim to be achieved and the means used.

Equality and Diversity issues have also been considered to ensure compliance with the Equality Act 2010 and meet our legal obligation in relation to the equality duty. In addition, Data Protection, Freedom of Information and Health and Safety Issues have been considered. Adherence to this policy or procedure will therefore ensure compliance with all relevant legislation and internal policies.

Other legislation/law which you must check this document against (required by law):

- [Human Rights Act 1998 \(in particular A.14 – Prohibition of discrimination\)](#)
- [Equality Act 2010](#)
- [Crime and Disorder Act 1998](#)
- [H&S legislation](#)
- [Data Protection Act 1998](#)
- [Freedom Of Information Act 2000](#)

Security Classification

Policy to be published on Intranet: Yes

Policy to be published on Force Website: Yes

Authorised Professional Practice (APP)

APP is developed and owned by the College of Policing (the professional body for policing) and can be accessed online. It is authorised by the College of Policing as the official and most up-to-date source of policing practice. The range of subjects covered by APP is growing all the time.

It has the same legal status as previous guidance; it is not the law and so, while Police Officers and Staff are expected to have regard to APP in discharging their responsibilities, the status of APP is advisory. There may be circumstances when it is legitimate to deviate from APP, providing there is a clear rationale for doing so.

This Policy has been checked against APP and there is none in relation to the subject matter of this Policy.

1. Policy Aims: (purpose)

- 1.1 It is the Policy of Lincolnshire Police to make sound business decisions based on the available evidence. Where additional funding, outside of that already budgeted is required to undertake a new activity, the decision must be fair, transparent and justified; as well as making good business sense for the force.
- 1.2 If a consistent approach is not used, issues are likely to arise following the implementation of the new business process or assets, such as inadequate provision of funding, unscoped contractual requirements, failing to take proper account of procurement legislation, and successful handover to business as usual.
- 1.3 This policy mandates the format and scope of business cases for application across the organisation, and must be used for all new capital and revenue schemes (see Force Financial Regulations) whether the work is being undertaken by the Strategic Partner, the Force, or both.

2. Policy Statement: (Key information)

- 2.1 All full business cases must be completed in the approved format (Appendix 2 to this policy)
- 2.2 When a decision is reached to complete a business case, or advice is required on whether a business case is required, the Continuous Improvement Manager must be notified. This allows potential changes to be tracked against the Force Change Programme and considered in light of other proposed changes or work already

being undertaken.

- 2.3 The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change.
- 2.4 The process is supported by the Continuous Improvement Manager, who will assist with advice and information about the successful completion of the business case, and facilitate support and guidance from colleagues in the force with specialist knowledge, for example the Commercial Partnerships Team, Finance and Procurement, ICT, Project Management and others.
- 2.5 The Continuous Improvement Manager takes responsibility for tracking the progress of business cases, and reporting to the Force Portfolio Board, which receives reports on the development of new projects and change activities.
- 2.6 A business case must answer the questions:

What is the problem to be fixed/opportunity to capitalise on?

What are the Force's options (including 'do nothing'), what is the preferred option based on the available evidence, and why?

What business benefits will be delivered as a result?
- 2.7 A full business case (Appendix 2), including financial pro-forma (Appendix 3 to this policy), is required for all amounts over £25K.
- 2.8 For amounts between £10K-25K, the Lead is required to complete the financial proforma and produce a report detailing the problem or opportunity, the preferred option, the benefits to be delivered and describe other organisational considerations, such as contractual changes.
- 2.9 For amounts under £10K, the Lead for the business area must complete a report to the Chief Officer Group (COG) on the COG report template http://intranet.lincspolice.local/hq/Strategic_Development_Department/Continuous-Improvement-Unit/PRINCE-2/COG-Papers-Template.dot, describing the benefits to be gained and the evidence supporting them.
- 2.1 For any change involving services that are delivered by the Force's strategic partner, the Commercial Partnerships Team must be consulted regarding the process for completion of a Change Control Notice. Where a Change Control is required, it is advantageous to complete it at the same time as the Business Case to ensure that both are co-ordinated, and that there are no unexpected delays in implementing the required change.

3. Other Related Documents/Appendices:

Appendix 1 – Business Case Process

Appendix 2 – Business Case template

Appendix 3 – Financial Proforma

Consideration must also be given to the requirements of the Force Financial, Contract and Procurement Regulations when creating a new Business Case

4. Monitoring/Review:

This policy will be reviewed by the Continuous Improvement Manager every two years to ensure that it adequately reflects the Force's business requirements, current process and reporting structures.

5. Who to contact about this policy:

This policy is owned by Tim Dawson, Continuous Improvement Manager, Strategic Development Department.

Any enquires about this policy should be directed to Tim Dawson, Continuous Improvement Manager, 01522 9(47248) tim.dawson@lincs.pnn.police.uk

Protective Security Marking:

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PRO-FORMA FOR THE INITIAL EQUALITY IMPACT ASSESSMENT (EIA)

This screening document is the first stage in a two-stage process to take a systematic approach to assessing the impact of an activity on equality. An activity may mean a:

- policy or policy review,
- a business case
- a business plan
- a project initiation
- a decision to implement a service
- a decision to decommission a service.

This screening should be completed by the lead person for the activity with assistance from any of the following departments:

- Human Resources (Where appropriate)
- Equality and Diversity

Department:	CIU	Section:		Person responsible for initial assessment:	Tim Dawson (CIU Manager)
Name of the Policy to be assessed:	Business Case Policy	Date of Assessment:		Is this a new or existing policy?	Existing
1. Briefly describe the aims, objectives and purpose of the policy.		This policy mandates the format and scope of business cases for application across the organisation, and must be used for all business decisions where the force requires further funding, whether the work is being undertaken by the Strategic Partner, the Force, or both.			
2. Are there any associated objectives of the policy? Please explain.		It is the Policy of Lincolnshire Police to make sound business decisions based on the available evidence. Where additional funding, outside of that already budgeted is required to undertake a new activity, the decision must be fair, transparent and justified; as well as making good business sense for the force.			
3. Who is intended to benefit from the policy and in what way?		Lincolnshire Police staff/officers			

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4. What outcomes are wanted from this policy?	Persons being able to fully complete a BC in the correct way with the required evidence and detail.		
5. What factors/forces could contribute/detract from the outcomes?	Nil		
6. Who are the main stakeholders in relation to the Policy?	OPCC, Police and staff		
7. Who implements the policy and who is responsible for the activity?	CIU and project managers/business leads		
8. Is there any likelihood the policy could have a differential impact on racial groups? (including Gypsies and Travellers)	Y	N	Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.
What existing evidence (either presumed or otherwise) do you have for this?	N/A		
9. Is there any likelihood the policy could have a differential impact due to gender?	Y	N	Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.
What existing evidence (either presumed or otherwise) do you have for this?	N/A		

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10. Is there any likelihood the policy could have a differential impact on due disability?	Y	N	<p>Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.</p>
What existing evidence (either presumed or otherwise) do you have for this?	N/A		
11. Is there any likelihood the policy could have a differential impact on people due to sexual orientation?	Y	N	<p>Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.</p>
What existing evidence (either presumed or otherwise) do you have for this?	N/A		
12. Is there any likelihood the policy could have a differential impact on people due to their age?	Y	N	<p>Please explain AS above</p>
12a Is there any likelihood the policy could have a differential impact on Young People and Children?	Y	N	<p>Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.</p>
What existing evidence (either presumed or otherwise) do you have for this?	N/A		
12b Is there any likelihood the policy could have a differential impact on Older People?	Y	N	<p>Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.</p>
What existing evidence (either presumed or otherwise) do you have for this?	N/A		

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<p>13. Is there any likelihood the policy could have a differential impact on people due to their religious belief?</p>	<p>Y</p>	<p>N</p>	<p>Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>N/A</p>		
<p>14. Is there any likelihood the policy could have a differential impact on people due to them having dependants/caring responsibilities?</p>	<p>Y</p>	<p>N</p>	<p>Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>N/A</p>		
<p>15. Is there any likelihood the activity could have a differential impact on people due to Marriage or Civil partnership?</p>	<p>Y</p>	<p>N</p>	<p>Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>N/A</p>		
<p>16. Is there any likelihood the policy could have a differential impact on people due to them being Transgender or Transsexual?</p>	<p>Y</p>	<p>N</p>	<p>Please explain The completion of a business case is a collaborative process, owned by a Lead in the Business Area that will take ownership or responsibility for the assets or new business processes; or receive the benefits of the change, this will have no differential impact on any particular group of people.</p>
<p>What existing evidence (either presumed or otherwise) do you have for this?</p>	<p>N/A</p>		
<p>17. If a differential impact has been identified in 8-16, will this amount to there being the potential for an adverse impact in this policy?</p>	<p>Y</p>	<p>N</p>	<p>Please explain</p>

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18. Can this adverse impact be justified on the grounds of promoting equality of opportunity for one group? Or any other reason?	Y	N	Please explain for each equality heading (question 8-16) on a separate piece of paper N/A
19. If Yes, is there enough evidence to proceed to a full EIA?			YES
20. Date on which Full impact assessment to be completed by.			NO

Signed (completing officer)___Tim Dawson_____

Signed (Lead officer) _____

Groups Affected

Please identify the anticipated impact this activity will have on the following population groups.

- Tick the appropriate box and give explanation if so required,
- Please note that there are both likely benefits and adverse impact within the same group
- Any groups highlighted as likely to be adversely affected should be consulted in the second stage Full Impact Assessment if one has been identified as being needed.

	Likely to Benefit	No Impact	Adverse Impact
Disability - Physical ,Sensory, Learning Disability, Mental Health, Carers		x	
Gender - Male , Female		x	
Transgender		x	
Race - Traveller and Gypsy etc		x	
Sexual Orientation - Lesbian, Gay , Bisexual		x	
Religion and Belief		x	
Age - Young and Old		x	
Marriage and Civil Partnerships		x	