

**PROCEDURE**

## Procedure for the Creation of New or Revision of Existing Policies and Procedures

Owning Department:	Corporate Development and Change		
Department SPOC:	Corporate Support Manager		
CPU Lead:	Helen Connors		
Governing Policy:	Policy for the revision or creation of new Policies and Procedures		
Risk Rating:	Low	Legal Sign Off: Date:	N/A N/A

### Approved by

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### 1. Procedure Aim

- 1.1 The aim of this procedure is to ensure that a properly structured set of procedures exists giving clear and concise guidance on a given subject area, i.e. the policy, and to assist with the “doing” regarding the implementation of an overarching policy.
- 1.2 This procedure should be read alongside the relevant policy, as stated on the front of the document.

### 2. Development/Review of Policies and Procedures

- 2.1 The Central Policy Unit must be contacted as soon as the need for a new policy or procedure has been identified (and appropriately authorised) or in the event of a review being required before the intended review date.
- 2.2 The Central Policy Unit will contact policy owners six months ahead of a review date and will maintain quarterly update meetings with department SPOCs to ensure any updates are captured.
- 2.3 The Central Policy Unit will allocate the new policy to the appropriate Policy Officer who will liaise with the policy owner and consider if a policy is the most appropriate way for the information to be documented, e.g. it may not be necessary for certain information to be in policy and procedure form and it may be more appropriate for it to be detailed in some other way, such as a departmental Standard Operating Procedure (SOP).

- 2.4 Once it has been decided that a policy is the most appropriate manner in which to document the information, the policy owner will draft the policy and/or procedure with the assistance and guidance of the Policy Officer.
- 2.5 Identifying and managing the following issues, which may arise during the development of all policies and procedures, will remain the responsibility of the policy owner:
- Training;
  - Financial implications;
  - Health and Safety;
  - Information Compliance;
  - Information Security.
- 2.6 All policies and procedures will be drafted using the policy or procedure templates which are available from the policy intranet site [here](#).
- 2.7 Where appropriate and feasible, flowcharts and diagrams should be used to display a process. The preferred software package to be used for this is Microsoft Visio. Flowcharts should be simple and easy to follow with minimal amounts of text. All flowcharts should be accompanied by a more in-depth explanation of the process being shown within the main bulk of the policy/procedure.
- 2.8 During development, due regard must be given to the need to eliminate discrimination, advance equality of opportunity and foster good relations, as per the requirements of the Equality Act 2010. All policies must be assessed for equality impact which must be documented in the Equality Impact Assessment (EIA) workbook. The EIA workbook should be started simultaneously with the policy drafting. Advice on EIAs can be obtained from the Forces' Diversity Units/specialists.
- 2.9 All policies and procedures must be given the appropriate protective marking under the Government Security Classification (GSC) scheme. Details can be found in the joint [Government Security Classification Scheme policy](#). The Policy Officer, in consultation with the policy owner, will be responsible for applying the appropriate marking.
- 2.10 Once the policy and procedures have been drafted, the Policy Officer should quality assure them for plain English, correct and consistent terminology, clarity, format, and ensuring the content can be understood by everyone, not just those closely and regularly involved in the processes described.
- 2.11 All policies will be risk assessed using the Policy Risk Scoring Matrix to determine "risk" level, which will determine the review period (see [section 10](#)). This will be completed by the policy owner, and quality assured by the Policy Officer.

### 3. Consultation on Policies

#### Non-HR Policy Process

- 3.1 These policies must be submitted for consultation to a mandatory list of consultees, which includes the staff associations, heads of departments, staff support networks and diversity specialists. The list is maintained by the Central Policy Unit and can be made available on request. The policy owner and Policy Officer should consider whether any additional stakeholders are required to be consulted with for each policy, taking account of the Government Security Classification.
- 3.2 The Policy Officer will be responsible for sending draft policies and all associated procedures out for consultation and collating the responses. Consultation will be carried out via email, giving a minimum of four weeks for responses to be received or, where appropriate, facilitated workshops will be used.
- 3.3 The consultation process also forms part of the Equality Impact Assessment process.

#### HR Policy Process

- 3.4 HR hold facilitated consultation meetings with UNISON, Police Federation, staff associations and other stakeholders as required.
- 3.5 Once the policy/procedure content is agreed, consideration will be given as to whether any additional stakeholders are required to be consulted with for each policy/procedure. Where additional stakeholders are identified, HR will consult with them directly.
- 3.6 The consultation process also forms part of the Equality Impact Assessment process.

### 4. Outcomes of Consultation

- 4.1 All comments and feedback received during the consultation period must be considered and the Policy Officer will liaise with the policy owner to decide whether any amendments are required as a result of the feedback.
- 4.2 Any comments or feedback received which relate to equality issues/concerns must be documented in the table at Appendix A of the Equality Impact Assessment workbook along with any actions that have been taken to overcome the issues/concerns raised. If no action is to be taken a justifiable reason needs to be given as to why.
- 4.3 Once all comments have been considered and all necessary amendments made to the policy, the Equality Impact Assessment

workbook should be finalised and, if necessary\*, sent with the policy to either of the Constabularies' Diversity Units/specialists for sign off.

\*Only those policies/EIAs which are deemed by the policy owner/Policy Officer to require guidance/second opinion or could potentially adversely affect a protected characteristic need to be sent. All other EIAs just need to be approved by the policy owner.

## 5. Staff Association Second Consultation

- 5.1 Where comments/issues have been raised during the first consultation stage which have resulted in the policy being amended, the Policy Officer will summarise all the consultation comments received and the amendments made as a result on a Consultation Response and Action Form template. This will be emailed to the staff associations along with the current policy for the second consultation period.
- 5.2 Any comments/issues received must be considered by the Policy Officer in liaison with the policy owner and the relevant consultee(s) and, if necessary, the policy should be amended. If significant changes are made to the policy at this stage, consideration should be given to reviewing the EIA which, if amended, may need to be re-agreed by the Equality and Diversity Unit/Diversity Specialist.
- 5.3 Once all issues/comments have been resolved, confirmation must be sought from the policy owner that they are content with the document. This will be via email for audit trail purposes.
- 5.4 In cases where a 'failure to agree' arises and an issue cannot be resolved, the policy will need to be submitted to joint Force Joint Negotiating Consultative Committee (JNCC) (as per [section 6](#)) for discussion.

## 6. Joint Force Joint Negotiating and Consultative Committee Consultation

- 6.1 All joint Force policies must be submitted to the joint Force Joint Negotiating and Consultative Committee (JNCC). Single force policies will be submitted to the Norfolk/Suffolk only JNCC meetings. JNCC meeting attendees include Chief Officers, Staff Associations and Union representatives from both Constabularies, for any final representations to be made. These meetings are held on a quarterly basis.
- 6.2 Where no representations are made, the policy can be progressed to the next stage (as outlined in [sections 7](#) and [8](#) below).
- 6.3 Where representations are made, reasons should be given as to why and amended terms/wording suggested. The Policy Officer will be informed of the outcome and will work with the policy owner to make the necessary amendments.

- 6.4 Once the amendments have been made, the policy will need to be re-submitted to JNCC again, unless an alternative process is stipulated, e.g. where the policy can be published providing the suggested amendments are made.
- 6.5 The outcome of the meeting will be documented in the meeting minutes.
- 6.6 Where policies are required to be considered outside of a scheduled meeting by exception, e.g. urgent policies, the outcome will be documented in the minutes of the next meeting and approval to progress any policy “by exception” will be approved by key stakeholders.

## 7. Legal Services Approval

- 7.1 Legal Services will receive all policies sent out for consultation and will select the policies they believe require legal scrutiny and review.
- 7.2 Legal Services will review those policies and, if clarification or amendments are required, these will be discussed with the policy owner and/or Policy Officer for any amendments to be made, where possible ahead of the proposed JNCC.

**Note:** If significant changes are required then further consultation may be necessary, at the discretion of the policy owner.

- 7.3 When Legal Services are happy with the content they will sign the document off and return it to the Policy Officer.

## 8. Publication

- 8.1 While a policy has been approved by the relevant JNCC but is still awaiting approval from Legal Services it can be published as ‘Interim’ pending Legal Services sign off with approval from the policy owner.
- 8.2 The Policy Officer will be responsible for advising personnel in both Constabularies when new or revised policies and procedures are published by organising an announcement in Force Orders.
- 8.3 Policy Officers will consider, in consultation with the policy owner, whether the policy is of such significance that additional methods of updating staff are required, for example an intranet news item.
- 8.4 Any policies which are classified as ‘Official’ only under the GSC are required to be published on the Constabularies’ external internet sites along with the EIA. (Only following Legal sign off).
- 8.5 Once approval has been received from Legal Services, the ‘Interim’ document can be replaced with the fully signed-off version (i.e. any reference to ‘Interim’ is to be removed).

## 9. Audit

- 9.1 The Central Policy Unit will retain an audit trail for each policy and procedure which will include publication and review dates as well as any decisions that were made during the development or review any extension of review dates.
- 9.2 An electronic copy of the email authorising all policies and procedures to be published will be kept within the audit trail for all policies and procedures.

## 10. Review

- 10.1 All policies will be risk scored to determine the review period:
- High = 2 years
  - Medium High = 3 years
  - Medium Low = 3 years
  - Low = 4 years
- 10.2 However, a shorter period can be given if the policy owner deems it necessary or if legislation changes, for example. The Policy Officer will be responsible for initiating the review by contacting the policy owner and upcoming review dates will be highlighted/discussed during the Policy Officers' regular contact with departments.
- 10.3 Procedures can be amended, as required, throughout the life of the policy, with approval of the policy owner, and will be considered within any policy review period.
- 10.4 This scoring will be determined by the use of the [policy risk scoring matrix](#).
- 10.5 The EIA should be reviewed in line with the policy review timeline.
- 10.6 Where amendments are required to a policy before the review date, the policy owner should contact the Policy Officer. Depending on the scale of the amendment(s), consideration should be given to extending the review date of the policy.
- 10.7 Where amendments are required to a procedure before the review date of the policy, the owner should contact the Policy Officer. Amendments to procedures will not require formal consultation, just auditable sign off by the policy owner.
- 10.8 Once a policy has been reviewed/amended, the same process for consultation, sign-off and agreement/approval, as outlined in the policy, must be followed, i.e. official review, legislation change, fundamental change that will impact the policy content. However, where only minor

changes are made, e.g. a sentence re-worded or a change in terminology, consideration should be given to whether the full process is required, e.g. full consultation may not be necessary, or agreement below joint Force JNCC level may be more appropriate.

- 10.9 Any updates to the review date of a policy should be confirmed by the Policy Owner, that the policy is still fit for purpose, and the review date can thereby be extended.
- 10.10 The decision as to whether the full process is required should be made by the Policy Officer in liaison with the policy owner. Consideration should always be given to any previous amendments that have been made and the process that was followed then, e.g. making lots of minor changes over a period of time could ultimately result in a significant change.
- 10.11 During the review process, consideration should always be given to whether the policy or procedure is still required or whether they can be amalgamated with others.
- 10.12 Where imminent legislation changes are known which will impact on a policy, it is possible to roll review dates forward pending the legislation coming into effect.

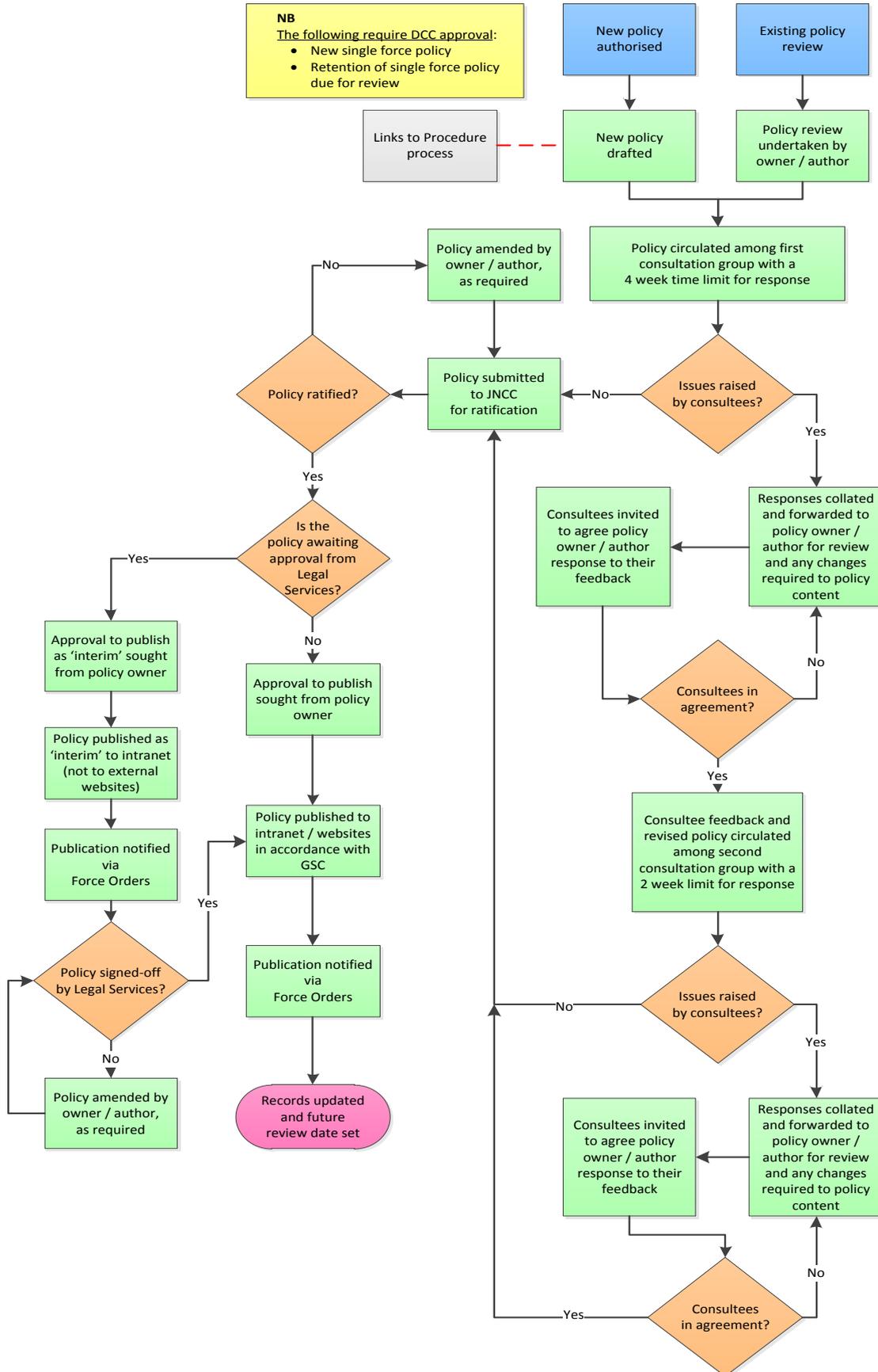
## **11. Withdrawal of a Policy**

- 11.1 Where it is decided that a policy is no longer required or can be incorporated into another, and therefore can be withdrawn, the Policy Officer will need to consider whether the withdrawal will impact on any other policies and take action as appropriate.
- 11.2 The Policy Officer will be responsible for communicating when a joint policy has been withdrawn via an announcement in the relevant Constabularies' Force Orders.
- 11.3 The Policy Officer will be required to make a record of the withdrawal date and the name and role of who authorised the withdrawal onto the central policy spreadsheet.

## **12. Transfer of Ownership of a Policy**

- 12.1 If a policy requires transfer from one policy owner to another, the two policy owners involved must agree to the transfer and advise the Policy Officer that a change of ownership has occurred.
- 12.2 The Policy Officer will be required to amend the policy and make a record of the transfer date and who authorised the transfer on the central policy spreadsheet.

### 13. Flowchart showing Policy and Procedure Process



## 14. Procedure Process

