

## Working Together

A review of the arrangements for collaboration between the five East Midlands police forces, commissioned by the police and crime commissioners for the region

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## Glossary

ACU – anti corruption unit	An undercover unit set up to investigate potential corrupt or criminal activity by officers or staff employed within the police service.
austerity	In this report, difficult economic conditions resulting from Government measures to reduce public expenditure.
authorised professional practice	The College of Policing is responsible for defining national standards and professional practice in key areas of policing. Standards and practice provide a framework which supports accountability, interoperability and improvement in working practices across the police service and its partners.
business case	A detailed report that describes the area of business proposed for collaboration, how the collaboration arrangements will work and the potential risks and benefits.
business support	Roles such as IT, stores, property, human resources, fleet, finance and training.
capability	The extent to which the ability to carry out particular actions exists.
capacity	The total number of resources available to carry out a particular function.
career pathway	A workforce development strategy used to support workers' development within the workplace.
casualty bureau	Provides the point of contact for the general public to report details of those who might have been involved in a major incident or civil emergency where there has been loss of life. The casualty bureau also has responsibility for collating information obtained from casualties, survivors and evacuees for matching against missing person reports.
central authorities bureau	An office within a police force that is responsible for policy, practice and oversight of the approval (authorities) to carry out surveillance and the registration and management of covert human intelligence sources (police informants).
cold cases	Crime investigations which are undetected and so are reviewed after a period of time to see if any further lines of enquiry are now possible (for example, due to new developments in forensic investigation).
collaboration	All activity where two or more parties work together to achieve a common goal, including inter-force activity and collaboration with the public and private sectors, outsourcing and the use of business partners.
contact management	The arrangements for handling telephone calls and other contact from members of the public.
covert surveillance	Where someone or something is being observed without knowledge.

criminal justice unit	Oversees the policies and processes within a police force which enable the prosecution of offenders, such as case file management and including witness care.
DSU – dedicated source unit	The unit which holds responsibility for handling covert human intelligence sources (police informants).
demand analysis	The assessment of a particular activity which is used to decide the level of resources (officers / staff / money) needed to manage demand.
East Midlands policing region	The police region that covers Derbyshire, Leicestershire, Lincolnshire, Northamptonshire and Nottinghamshire.
economic crime	Crime that has a financial implication on the victim or victims.
force control room	The facility which receives and manages emergency and non-emergency calls, and manages the deployment of police officers and police community support officers.
forensic services	Use science or technology in the investigation of crime to help establish facts or evidence.
frontline	Comprises those members of police forces who are in everyday contact with the public and who directly intervene to keep people safe and enforce the law.
golden hour	The time immediately after a crime or incident, when it is expected that the best possible evidence can be obtained. This is not necessarily limited to the first hour.
governance	The method by which the efficiency and effectiveness of a service, including the outcomes of a service, are overseen.
homicide	Unlawful killing of a person by another person.
HR – human resources	The department responsible for the people in the organisation, and providing direction through a workforce strategy. It also works with managers for some tasks, for example, recruitment; training and continued professional development; annual appraisals; and dealing with poor performance.
ICT – information and communications technology	Any products that will store, retrieve, manipulate, transmit or receive information electronically in a digital form. For example, personal computers, digital television, telephones and email.
infanticide	Killing a child within a year of its birth.
infrastructure	The basic framework or features of a system or organisation that enables the system or organisation to operate effectively.
intelligence (department)	Contain a number of analysts who collect and analyse information relating to who is committing crimes, how, when, where and why.
IT licences	Licences that are obtained from the provider of particular computer programmes or computer systems which authorise the use of the system or programme by the licence owner.
judicial proceedings	A legal proceeding in court, such as a criminal trial.

learning and development	Concerned with ensuring that the training and development requirements of individuals and groups within the East Midlands police forces are made available and are of a good standard.
local policing	The provision of policing services at a local level. Comprises both neighbourhood and local response teams, and sometimes investigation teams.
local response officers	Those police officers and staff who respond at a local level to calls for a policing service from a member of the public.
major crime	For the purposes of the East Midlands major crime team, major crime means crimes of murder, manslaughter, kidnap with demands, and extortion committed anywhere in the East Midlands region.
management information	Information that is used to enable managers to have oversight of particular activities so as to ensure they are efficient and effective.
mapping (organised crime)	The process by which police forces understand (map) the level of risk to the public from organised crime groups.
medium-term financial strategy	The planned approach for how the finances of an organisation will be allocated over the next few years.
National Crime Agency	An operational crime-fighting agency that works at a national level to tackle organised crime, protect national borders, fight fraud and cyber crime, and protect children and young people.
neighbourhood policing	Activities carried out by neighbourhood teams and primarily focused on a community or particular neighbourhood area. Also known as community policing.
NRE – net revenue expenditure	Total expenditure minus earned income. Earned income covers partnership income, sales fees charges and rents, special police services, reimbursed income and interest. This definition deviates from the definition provided by the Chartered Institute of Public Finance and Accountancy (CIPFA).
occupational health	The function responsible for the promotion and maintenance of the physical, mental and social well-being of officers and staff.
operational support	Roles which provide support to operational policing activities, for example, criminal justice and intelligence departments.
operational tactics	The means by which police forces carry out their responsibilities to investigate crime and incidents.
organised crime groups	Organised criminals who work together for the duration of a particular criminal activity or activities.

PCC – police and crime commissioner	A statutory commissioner established under the Police Reform and Social Responsibility Act 2011, elected for a police area. The PCC is required to secure the maintenance of the police force for that area, and to secure the efficiency and effectiveness of that force. He or she holds the Chief Constable to account for the exercise of his or her functions. In particular, the PCC is required to hold the Chief Constable to account in relation to the effectiveness and efficiency of his or her collaboration arrangements.
PCSO – police community support officer	Uniformed non-warranted officer employed by a police force or the British Transport Police in England and Wales. Established by the Police Reform Act 2002.
performance management	Activities which ensure that goals are consistently being met in an effective and efficient manner. Performance management can focus on the performance of an organisation, a department, employee, or the processes to build a service.
police contact centre	The call centre for each force where calls for service are received from the public.
private sector partnering	Partnership between a central or local public body with a private sector body to provide a service or asset.
procurement	The acquisition of goods, services or works from an external supplier.
protective services	A wide-ranging term for the police response to the most serious crimes and the potential threats of harm from which the public must be protected.
ROCU – regional organised crime unit	Consists of a number of specialist policing teams responsible for dealing with serious and organised crime at a regional level.
resilience	The capacity to be able to provide an effective and efficient response to demand.
resourcing	The arrangements to ensure the correct level of funding, officers and staff and any other requirements to provide a particular service efficiently and effectively are in place.
response policing	The service provided a local level to respond to calls for a policing service from a member of the public.
senior investigating officer	An officer with specialist skills who is responsible for overseeing the progress of a serious or major investigation.
SOC – serious and organised crime	Crime where those involved work, usually with others, with the capacity and capability to commit serious crime on a continuing basis. Serious and organised crime normally includes elements of planning, control and coordination, and benefits those involved.
SPOC – single point of contact	An individual within a particular function who acts as the first point of contact for other people who need to access information or services.

shared services	Sharing of business support services (often of a transactional nature) in one place.
spending review	A government process carried out to set firm expenditure limits over a period of time.
strategic policing requirement	A document that sets out the national threats that the police must address and details the capabilities that should be in place to counter those threats.
surveillance	Where someone or something is being observed without knowledge.
tasking and coordinating group	The group within the East Midlands Special Operations Unit that considers the principal crime threats and risks and decides which of these take priority for the allocation of available resources.
technical support	The provision of technical equipment or services which support police investigations.
test purchase	An exercise in which undercover police officers are authorised to undertake activity which may involve making what would otherwise be illegal purchases (such as of drugs) so as to gain evidence against persons engaged in illegal activity.
undercover policing	Policing activity undertaken by specially trained officers who carry out their work without identifying themselves to others as police officers.
vetting	The process of checking the background of persons employed by or seeking to be employed by a police force (or other organisation) to ensure they are suitable for that employment.
vision	A clear description of what the ultimate outcome of a particular action or activity is intended to be.
workforce	The police officers, police community support officers (PCSOs), police staff and volunteers (including special constables) working in a particular force.
yield	The financial saving or other positive outcome achieved as a consequence of changes in the way a function or activity is undertaken.

## Executive summary

In July 2013, the Police and Crime Commissioners (PCCs) for the East Midlands region<sup>1</sup> commissioned Her Majesty's Inspectorate of Constabulary (HMIC) to conduct a review of the arrangements for collaboration between the five forces in the region.<sup>2</sup> The purpose of the commission was *"to provide [the PCCs] with high-level assurance on the overall approach to collaboration between, and by, forces within the East Midlands policing region; by assessing current arrangements; by assessing what is being developed and by considering future possibilities."*

### Collaboration in the East Midlands region

The forces of the East Midlands have been working in collaboration for over a decade, since the establishment of the East Midlands Special Operations Unit (EMSOU) in 2002. This started as a dedicated undercover policing and test purchase unit covering Derbyshire, Nottinghamshire and Leicestershire. It has since expanded incrementally to include all five East Midlands forces, as well as five major areas of policing: serious and organised crime; major crime; intelligence; forensics; and counter-terrorism.

### Review methodology

HMIC's review focused on three questions:

1. how efficient and effective are the current collaboration arrangements – in particular, in relation to the capacity and capability of the arrangements for major crime and serious and organised crime?
2. are the current or emerging proposals for regional collaboration realistic in terms of benefits, and have all options been appropriately assessed? and
3. what are the future opportunities for collaboration?

To answer these questions, HMIC:

- reviewed the original business cases and financial data for the collaboration arrangements currently in place;

<sup>1</sup> Police forces in England and Wales are grouped into a number of regions. The East Midlands region comprises the police forces of Derbyshire, Leicestershire, Lincolnshire, Northamptonshire and Nottinghamshire.

<sup>2</sup> Police and crime commissioners can commission HMIC to undertake inspections under section 54(2BA), Police Act 1996. Full terms of reference for this review are included at Annex A.



- examined how the collaboration programme is developed and progressed; and
- compared the arrangements in the East Midlands with those in place or developing across other police forces in England and Wales, to identify any opportunities for further collaboration in the region.

## **Main findings**

### **How effective are the current regional arrangements?**

The five forces in the East Midlands region showed great vision, as well as strong and cohesive leadership, in establishing the collaboration programme, which was ahead of its time. The forces and their successive leaders have continued to support and develop it. As a result, the region was the first to increase capabilities in critical operational areas through joint working; its collaborated functions have produced an average saving of 20% from the pre-collaboration costs;<sup>3</sup> and HMIC found the East Midlands forces continue to reap significant benefits in terms of resilience in some major operational areas (such as serious and organised crime, and major crime).

It is imperative that what has been created is preserved and that the current leadership, through the Chief Constables, is able to work collectively to improve and expand on what has already been achieved. A decision now by any of the five forces to withdraw collaborated functions back into an individual force, or to withdraw from the proposals to extend collaboration further, would risk an adverse impact on both efficiency and effectiveness.

EMSOU has a number of strengths. These include its efficient and effective structure, which provides the five forces with resilience in relation to serious and organised crime; and its ability to manage operations well, with access to a broad range of operational tactics. The forces have a strong history of dealing with serious and organised crime groups. Collaboration in this area is effective.

Similarly, the Major Crime Unit delivers an effective response to major crimes. It has skilled staff who have responded well to the workload and coped with the demand in the region, and whose professionalism was favourably commented on by the people in forces who were interviewed as part of this review.

There is, however room to improve still further the efficiency and effectiveness of the service offered by EMSOU. For example, we found opportunities for the Major Crime Unit to increase the efficiency of the service it provides through improved management information and better demand analysis. This issue is discussed in further detail in this report.

<sup>3</sup> These savings are mostly the result of the opportunities collaboration offers to remove some management posts and reduce the overall size of the workforce.

In addition, while the total savings the East Midlands region is making from its collaborations are in line with the contribution to the savings requirement from collaboration seen across England and Wales, this masks the fact that there are still functions within EMSOU, such as economic crime investigation and procurement, which appear to be comparatively more expensive than in other forces in England and Wales. While it may be a conscious decision to invest more in these functions (as the decisions to collaborate are not made on cost alone), it is important that the reasons for this expenditure and the additional value it provides are understood. We are encouraged by the fact that EMSOU has itself concluded through a recent review of its collaboration arrangements that it can yield an additional annual recurring saving of £2.4m. This is the first time EMSOU has been required to review the collaborative arrangements that are already in place in order to contribute additional savings to help the forces meet their reductions in Government funding.

In conclusion, HMIC finds that the current regional collaboration arrangements relating to major and serious and organised crime are effective, and considers it critical that they are continued and expanded. Our review found clear evidence that these arrangements provide capability, capacity and resilience. However, we have also identified some areas for improvement. It is important that these and other lessons learned from earlier collaborations are reflected in plans for joint working in the future.

### **Are the current or emerging proposals for regional collaboration realistic in terms of benefits, and have all options been appropriately assessed?**

The East Midlands region is developing its plans for future collaboration activity. It is building business cases to assess the benefits for joint working in a range of policing areas, including:

- business support functions<sup>4</sup> (for instance, by endeavouring to establish joint finance, estates management, vehicle management and ICT teams); and
- operational support functions (for example, by considering collaborating on criminal justice processes such as the management of court files and the processing of fixed penalty notices).

Other forces are already collaborating on many of these areas, and we detail this in our earlier reports on collaboration and value for money.<sup>5</sup>

<sup>4</sup> These are described in the East Midlands collaboration under the 'Resources Portfolio'. However, they are described in this report as business support functions, which is consistent with HMIC's terminology.

<sup>5</sup> *Policing in Austerity: Rising to the Challenge* (2013) and *Increasing Efficiency in the Police Service: The Role of Collaboration* (2012). Both available from [www.hmic.gov.uk](http://www.hmic.gov.uk).

Many of these projects are in the early stages of development, and so it was not possible for HMIC to make a full assessment of their potential benefits at this stage. However, we were able to assess the overall approach by examining how the collaboration programme prioritised areas for collaboration and developed business cases.

The East Midlands region has a strong process in place to develop these business cases. HMIC is, however, concerned that some of the business cases currently omit important information (such as the impact on the public of the proposals to collaborate); and moreover that they are developed in isolation, with no reference to or (in some cases) knowledge of the other proposals being considered alongside them. This means that while the East Midlands collaboration team have an understanding of the interdependencies of each collaboration, those evaluating the proposals may not be provided with a complete picture of how each business case fits into the overarching collaboration programme, and thus will not be in a position to assess properly the pros and cons of collaboration 'across the board'. This issue should be addressed.

HMIC also examined whether all options for future joint working had been appropriately assessed. This work found a small number of instances where an area of policing had been deemed unsuitable for collaboration, but no clear rationale for this decision was recorded. This means the region cannot provide reassurance that all its assessments are sound. While the policing functions rejected for collaboration in this way are relatively small in terms of cost, staff in the East Midlands believed they could offer opportunities for joint working, and that they should therefore be reconsidered.

HMIC identified two risks to the successful development and delivery of the emerging proposals for collaboration:

- **there is no vision for future collaboration work – this has stalled since the implementation of the collaboration arrangements in relation to serious and organised crime and major crime.** The officers and staff interviewed as part of this review believed that there was no clear agreement among the leadership of the forces on the future direction for collaboration in the region. The pace of collaboration has decreased significantly. This is to some extent understandable, following the major change to governance arrangements in the run-up to the election of the first police and crime commissioners in November 2012, since police authorities did not want to tie their successors' hands; and then newly-elected PCCs wished to take stock of the position. It will be difficult for the East Midlands region to continue to advance its collaborative arrangements without setting out and agreeing what collaboration in the region will look like in the medium term (three years) and in the longer term (seven years). This should comprise more than simply an outline agreed vision. It should also include a sufficiently

detailed overarching plan, which is properly costed and describes how the change will be achieved while maintaining and improving the service to the public; and

- **major underlying differences between the forces in significant areas have not been systematically addressed.** Interoperability and the absolute minimum of interfaces between neighbouring police forces are, in HMIC's view, essential to efficiency and effectiveness, but this has not yet been achieved across the region. A good example is the different computer systems in use across the region; officers and staff have worked around the problems this causes by having multiple log-ons. However, IT is now increasingly being described by the workforce as a barrier to change, as the need to have common systems was not addressed earlier in the development of the collaboration programme. While HMIC was made aware of encouraging proposals regarding a joint IT vision, concern remains that if this proposal excludes one or more forces within the region it may hinder future collaboration and have an adverse impact on existing collaborated services.

### **What opportunities exist for further collaboration?**

HMIC compared the East Midlands region's current and planned collaboration activity with that of other forces, and found it to be largely in line with the rest of England and Wales in terms of the areas of policing being considered for joint working. However, the region's approach of assessing each business case for joint working separately (rather than as part of a single, overarching plan), combined with frequent changes of position from Chief Constables as to which of the five forces should be involved in which areas of collaboration, means there is no coherent, overall vision for the collaboration programme. The collaboration programme is losing pace as a result.

This is a critical point in the future of collaboration in the East Midlands. Chief Constables and PCCs need to take decisive action if they are to continue to benefit from the advantages which joint working brings, and to maximise the savings that it offers.

Chief Constables and PCCs in the East Midlands region will need to accept that levels of compromise from all parties are necessary in order to develop and improve the collaboration programme further. With five forces involved, collaboration in the East Midlands is more complex than in any other region; but if any force withdraws from it now, it will compromise the economies of scale only possible through joint working, and make it difficult for the force in question to re-engage as the collaboration becomes more advanced and established.

As a matter of urgency, the Chief Constables and PCCs in the East Midlands region need to develop a clear and integrated vision and programme of work for their collaboration. The principal components of this programme are set out in

our recommendations. This should be developed in such a way that all forces are able to influence the future policing arrangements for the region, and how they will operate.

## **Recommendations**

1. Develop a clear and integrated vision and programme of work for collaboration in the East Midlands, which builds on the current successful collaboration. This should set out how collaborated services will be configured, when they will be in place, and how and where there is scope for forces to offer different levels of service to their public within the collaborated arrangement. In so doing PCCs and Chief Constables should have specific regard to their duties as described in the legal framework for collaboration.
2. Create a detailed, overarching business plan, which sets out the functions, costs and benefits of collaboration, and articulates a commitment to joint working across an identified range of functions. This plan should include information on the benefits for and impact on the public, local policing, collaborated policing functions and staff.
3. Develop services that are truly integrated, rather than simply shared. This may require difficult decisions about where services are situated, for example as to the location of force control rooms or major crime hubs. However, the current desire for every force to retain a footprint in the provision of regional services risks the effectiveness of the collaboration as a whole.
4. Address some of the variance in the underlying infrastructure which should support joint working (such as ICT, employment terms and conditions, and finance and budgeting approaches).
5. Continue to ensure the skills of the collaboration business change team reflect the complexity and breadth of the overall programme.

# Introduction

## Review commission

Police and crime commissioners (PCCs) for each police area in England and Wales were elected in November 2012. A police and crime commissioner for a police area is a representative of the local community with responsibility for securing the efficient and effective policing of that area.

Following their election, the PCCs for the East Midlands region<sup>6</sup> recognised the importance of understanding their financial commitments related to regional collaboration arrangements, in order to ensure that these were fully reflected in their medium-term financial strategies. In February 2013, they therefore set up a Regional Efficiency Board to review the current arrangements for joint working. Her Majesty's Inspectorate of Constabulary (HMIC) was invited to join this board as an independent observer.

In addition, the PCCs asked HMIC to conduct a review of the police collaboration arrangements across the East Midlands.<sup>7</sup> The stated purpose of the commission was *“to provide the PCCs with high-level assurance on the overall approach to collaboration; to assess current arrangements; assess what is being developed and consider future possibilities”*.

The review was designed to answer three sets of questions:

- **How effective are the current collaboration arrangements?** Are the leadership and governance of the collaboration programme effective? Are the current arrangements efficient and effective? Is the capability and capacity for the major crime and serious and organised crime teams appropriate? What is HMIC's assessment of the work of the Efficiency Board?
- **Are the current or emerging proposals for regional collaboration realistic in terms of benefits, and have all options been appropriately assessed?** What are the benefits associated with proposed collaborations, and are they realistic? What proposals for collaboration have been rejected, and was a valid assessment completed before they were rejected?

<sup>6</sup> Police forces in England and Wales are grouped into a number of regions. The East Midlands region comprises the police forces of Derbyshire, Leicestershire, Lincolnshire, Northamptonshire and Nottinghamshire.

<sup>7</sup> Police and crime commissioners can commission HMIC to undertake inspections under section 54(2BA), Police Act 1996.

- **What opportunities exist for further collaboration?** How does the East Midlands region compare with other forces in England and Wales? What are the opportunities for further expansion of the current programme?

Full terms of reference are set out at Annex A.

## Methodology

To answer these questions, HMIC:

- reviewed the original business cases and financial data for the collaboration arrangements currently in place;
- examined how the collaboration programme has developed and progressed; and
- compared the arrangements in the East Midlands with those in place or developing across other police forces in England and Wales, to identify any opportunities for further collaboration in the region.

This involved extensive fieldwork, including interviews with the chief officer in charge of the regional collaboration programme; the senior officer in charge of the developing collaboration programme; and senior officers and staff who lead some of the areas of business which are supplied through collaboration. We also interviewed the chief officer leads for collaboration and for crime investigation in each of the five East Midlands forces. The views of the five Chief Constables also informed the review. Finally, we held focus groups with staff associations, and with some of the other officers and police staff working both in the regional collaboration teams, and in areas of business which are still operating at an individual force level.

The HMIC review team comprised staff with knowledge and experience of the development of collaborative arrangements. They also had backgrounds in relevant specialist areas, including human resources, finance, major crime and serious and organised crime.

## Background and context

In our reports *Policing in Austerity: Rising to the Challenge* (2013) and *Increasing Efficiency in the Police Service: The Role of Collaboration* (2012) HMIC identified the benefits that collaboration can bring. These include encouraging both a more efficient police service (through economies of scale), and a more effective one (through increased resilience and capacity).

A detailed legal framework governing collaboration agreements is set out in the Police Act 1996, as amended by the Police Reform and Social Responsibility Act 2011.<sup>8</sup> This imposes a number of interlocking duties on the Chief Constable of a police force and the PCC for a police area. The most significant points include the following:

- a. A collaboration agreement may be made by two or more policing bodies<sup>9</sup> (including PCCs) or between one or more Chief Constables and two or more policing bodies (including PCCs).
- b. The Chief Constable and the PCC are each under a duty to keep under review the ways in which collaboration functions<sup>10</sup> could be exercised so as to improve the efficiency or effectiveness of one or more police forces or policing bodies.<sup>11</sup>
- c. Detailed provision is made as to assessing the case for a proposed collaboration and requiring the agreeing parties to give effect to the proposed collaboration if they are of the view that it would be in the interests of the efficiency or effectiveness of one or more police forces.<sup>12</sup>
- d. Moreover, the PCC is required to hold the Chief Constable to account for the effectiveness and efficiency of the Chief Constable's arrangements for co-operating with other persons, whether pursuant to a collaboration agreement or otherwise.

<sup>8</sup> See sections 22A to 22C; 23; 23AA; 23B-H; 23HA; and 23I of the Police Act 1996 as amended.

<sup>9</sup> By s.23I of the 1996 Act, 'policing body' includes a local policing body; and by s.101(1) of that Act, a local policing body includes a police and crime commissioner.

<sup>10</sup> In one area, police air support, the Secretary of State has required collaboration between all police areas: see SI 2012/1690 Police (Collaboration: Specified Function) Order 2012.

<sup>11</sup> 1996 Act, section 22B (duty on chief officers) and section 22C (duty on policing bodies, including PCCs).

<sup>12</sup> See section 22B and 22C.



The Secretary of State has given statutory guidance (under section 23F of the Police Act 1996) as to police collaboration.<sup>13</sup> Chief Constables and PCCs are required to take this guidance into account in considering whether or not to enter into a collaboration agreement and in planning and making collaboration agreements. That guidance emphasises the strength of the new duty to collaborate (§32):

*The 2011 Act inserted sections 22B and 22C into the 1996 Act, which place new duties on chief officers and policing bodies to keep collaboration opportunities under review and to collaborate where it is in the interests of the efficiency or effectiveness of their own and other police force areas. This is a stronger duty than the previous one for police authorities, who were required only to support collaboration by their own forces. The new duties require chief officers and policing bodies to work together to review opportunities to collaborate, to engage with their prospective collaboration partners and to make a judgment as to whether those opportunities present the best option available. Where collaboration is judged to be the best option, they must collaborate. Another key difference from the previous arrangements is that where collaboration would provide the best outcome for another police force or group of forces, then a chief officer or policing body should pursue it – even if they do not expect their own force to benefit directly itself. This is designed to ensure that collaboration takes place wherever it is in the wider public’s best interest.*

The guidance (§39) also reminds Chief Constables and PCCs of the requirement (in section 23HA of the 1996 Act) to consider the desirability of police forces taking a consistent approach in making collaboration agreements and other arrangements; and sets out (at §§61–71) the requirements for agreement and consultation (particularly the requirement for PCCs to consult Chief Constables before entering into collaboration agreements<sup>14</sup>). Guidance is also given about withdrawing from or terminating a collaboration agreement (§§85–90) and about accountability and governance structures (§§91–104).<sup>15</sup>

Historically, the main reason for most forces choosing to collaborate was the desire to improve the resilience and capability of specialist elements of policing. This followed the publication of HMIC’s 2005 report, *Closing the Gap: A Review*

<sup>13</sup> *Statutory Guidance for Police Collaboration*, Home Office, October 2012. Available from [www.gov.uk](http://www.gov.uk)

<sup>14</sup> The guidance notes at §71 that, provided proper consultation is carried out, a policing body (including a PCC) may legally enter into a policing body collaboration even if its Chief Constable objects, provided that the objections are properly considered and the reasons for discounting them can be articulated.

<sup>15</sup> Reference should be made to the whole of the guidance, which covers these topics in more detail as well as dealing with a number of other subjects which are beyond the scope of this report.

of the *Fitness for Purpose of the Current Structure of Policing in England and Wales*,<sup>16</sup> which highlighted the need for police forces to work collaboratively to effectively tackle serious crime at a regional and national level. These areas require small numbers of specific, trained staff, which in some forces are used relatively infrequently. Such resources were often targeted at a threat that spanned more than one force. Examples include firearms (particularly specialist firearms), the conduct of a major investigation such as a series of murders, and covert surveillance. To support the forces' development of regional units, the Home Office provided additional funding in 2006. Collaboration is now also seen as a way of reducing cost while maintaining service levels.

Impressively, the forces of the East Midlands have been working in increasingly more effective collaboration for over a decade, since the establishment of the East Midlands Special Operations Unit (EMSOU) in 2002. This had an initial focus on specialist areas of policing, and started as a dedicated undercover policing and test purchase unit, covering Derbyshire, Nottinghamshire and Leicestershire. It has expanded incrementally to cover all five of the East Midlands forces, and five main areas of policing: serious and organised crime; major crime; intelligence; forensics; and counter-terrorism.

## East Midlands Collaboration Timeline

### Establishing EMSOU

**Figure 1: Timeline for the development of EMSOU**

1999 - 2001	Regional discussions by the heads of crime and initial proposals made to chief officers.
2002	EMSOU created with a dedicated undercover and test purchase unit
2002	A legal collaboration agreement with shared liability signed by all five Chief Constables and Police Authorities
2003 - 2004	Further development discussions by the heads of crime with the lead ACC for the region
2004	Agreement to create an Intelligence Unit
2005	HMIC report into policing structures identified significant risks from serious and organised crime to the East Midlands region
2005	Regional chief officers agreed to EMSOU expansion to include dedicated operational teams
2006	Home Office funding support given for the EMSOU expansion

<sup>16</sup> *Closing the Gap: A Review of the Fitness for Purpose of the Current Structure of Policing in England and Wales*. HMIC, September 2005.

2006	EMSOU operational surveillance and investigation structure created
2008	Bespoke accommodation opened and EMSOU identified as the primary collaborative project for the region
2009 - 2011	Continued expansion work with further functionality to include technical surveillance, asset recovery and regional review teams
2011	Launch of regional Serious and Organised Crime and Major Crime Units.

The regional forces have built on the joint working that underpinned EMSOU to develop a much broader East Midlands Police Collaboration Programme (EMPCP). This programme has extended the regional collaboration arrangements (see Figure 3, on the following page) to include areas of operational and business support such as procurement, vetting, legal services, learning and development, and occupational health provision. The assessment of other areas of business as candidates for potential collaboration continues.

The programme is split into four portfolios, each headed by one of the regional Chief Constables. The collaboration programme is overseen by the Northamptonshire Chief Constable, Adrian Lee, who sits as the chair of the regional Chief Constables board.

**Figure 2: Portfolios in the East Midlands region collaboration programme**

Specialist Crime Portfolio (CC Mick Creedon)	EMSOU Counter Terrorism	EMSOU Forensic Services	EMSOU Major Crime
	EMSOU Serious and Organised Crime (SOC)	EMSOU Special Branch	EMSOU Technical Surveillance Unit
	Regional Asset Recovery Team	Regional Intelligence Unit	Regional Review Unit
	Fraud and Financial Investigation		Police eCrime Unit (Cyber Crime)
Operational Support Portfolio (CC Simon Cole)	Legal Services (4 Forces - Excl. Lincolnshire)		Professional Standards Vetting
Specialist Operations Portfolio (CC Neil Rhodes)	East Midlands Regional Information and Co-ordination Centre (EMRICC)		Serious Collision Investigation (3 Forces - Excl. Lincolnshire and Northamptonshire)
Resources Portfolio (CC Chris Eyre)	Learning and Development (4 Forces - Excl. Lincolnshire)	Occupational Health	Procurement (3 Forces - Excl. Lincolnshire and Leicestershire)

As this table shows, not all five forces are involved in all collaborations. Instead, involvement depends on the individual circumstances of the regional forces, such as local arrangements with other partners, and the same currently applies to the developing programmes of future collaboration (discussed in Chapter 3).

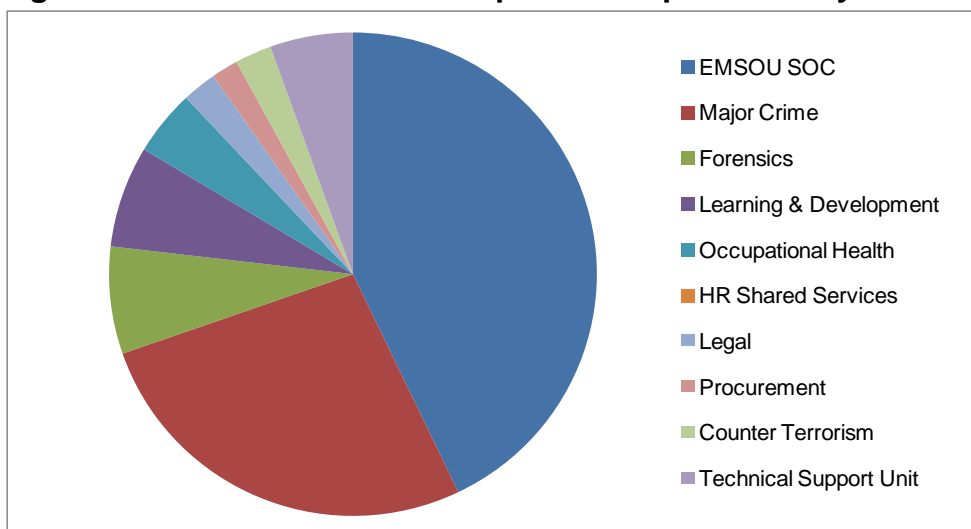
**Figure 3: Timeline for the introduction of each collaboration**

2002	EMSOU undercover policing and test purchase unit
2005	Regional intelligence Unit
2007	Serious and Organised Crime operational teams
April 2010	Regional Asset Recovery Team
July 2011	EMSOU Technical Support Unit
Sept 2010	Regional Review Unit
August 2011	East Midlands Strategic Commercial Unit (Procurement)
Sept 2011	Major Crime
October 2011	EMSOU Special Branch and Counter Terrorism Intelligence Unit
Feb 2012	Police e-Crime unit
2005	Regional Intelligence Unit
April 2012	Forensic Services
April 2012	Learning & Development
April 2012	Occupational Health
Nov 2012	Legal Services (initially Nottinghamshire and Derbyshire in July 2011 – joined by Leicestershire and Northamptonshire in November 2012)
Nov 2012	Fraud and Financial Investigation
April 2013	Professional Standards Vetting
April 2013	Serious Collision Investigation Unit

## The collaboration programme in numbers

The East Midlands collaboration programme had a budgeted expenditure of £42m across these portfolios in 2012/13. This is about 5% of the combined expenditure of all five East Midlands forces. The way this breaks down across the different portfolios is shown in Figure 4.

**Figure 4: Breakdown of £42m of planned expenditure by business area**



It should be noted that while the investment in serious and organised crime is substantial, this covers a broad range of activity which supports other areas of business, such as major crime.

About 1,155 police officers and staff work within the East Midlands collaboration portfolios, as Figure 5 shows.

**Figure 5: Workforce within the East Midlands collaboration as a percentage of the region's total workforce**

**Workforce within East Midlands collaboration**

Total officers and staff in collaborative functions	Police Officers	Police Staff	Total
Major crime	157	70	227
Serious and Organised Crime	211	135	346
HR Services and Learning & Development	28	62	90
Legal services	-	24	24
Occupational health	-	36	36
Special Branch and Counter Terrorism Intelligence Unit	146	81	227
Fraud and Financial Investigation	30	31	61
Forensics	-	61	61
Collaboration Programme	3	7	10
Procurement	-	19	19
IT	-	2	2
Serious Collision Investigation Unit	45	7	52
<b>Total in collaborative functions</b>	<b>620</b>	<b>535</b>	<b>1,155</b>
<b>East Midlands total (FTE)</b>	<b>8,409</b>	<b>4,331</b>	<b>12,740</b>

Proportion of workforce in collaborative functions	Police Officers	Police Staff	Total
	7.4%	12.4%	9.1%

Note: Functional breakdown is as provided by the East Midlands collaboration as the number of people in post as at 31 March 2013. The East Midlands total (FTE) is the number of people in post as published by the Home Office in *Police workforce, England and Wales, 31 March 2013*

Two forces have also progressed their own individual arrangements, outside the East Midlands collaboration, for collaborating in respect of some of their business and operational support functions:

- Northamptonshire has a shared service centre with Cheshire Constabulary, which provides finance, purchasing, human resources, payroll and duty management services (see Figure 6); and
- Lincolnshire Police has entered into a private sector partnership for a wide range of business support functions, as well as the operational support functions of custody and the force control room (see Figure 7). These arrangements do not, however, automatically preclude Lincolnshire from collaborating with other East Midland forces in these areas.

**Figure 6: The Northamptonshire multi-force shared service**

Northamptonshire Multi-Force Shared Service	Analytics (Business Intelligence)	Duty Management	Estates and Facilities
	Finance	Human Resources	Logistics Management
	Payroll		Purchasing

**Figure 7: The Lincolnshire private sector partnership**

Lincolnshire Private Sector Partnership	Crime Management Bureau	Criminal Justice Services (CJS)*	Custody
	Finance and Procurement	Firearms Licensing	Force Control Room
	Human Resources and Resources Management Unit	Identification Unit	Information technology
	Integrated Services**	Learning and Development	Town Enquiry Officers

\*CJS incorporates the Criminal Justice Unit, Collisions Unit and Central Ticket Office.

\*\* Integrated Services comprise Support Services, Fleet and Assets and Facilities management.

This patchwork of arrangements across the region is indicative of the challenge for the five forces to work collaboratively. The decisions to partner outside the region with G4S and Cheshire Police force adds additional complexity to the development of further collaboration across the East Midlands forces.

The high level of effective collaboration that we see now is a result of strong leadership and a determination to improve the safety of the public across the region. This is especially the case in respect of major crime and serious and organised crime. Nowhere else in England and Wales is this number of police forces choosing to collaborate on so many significant policing functions.

# 1. How effective are the current collaboration arrangements?

HMIC assessed four areas in order to test the effectiveness of the current collaboration arrangements in the East Midlands region:

- the extent to which the operational arrangements in place for major crime and serious and organised crime provide improved capability and capacity;
- if savings from the programme can be evidenced;
- how effectively the leadership and governance of the collaboration programme drives this improved efficiency and effectiveness; and
- the robustness and quality of the work of the Efficiency Board (which was set up to review the efficiency of the arrangements).

This chapter considers each of these issues in turn.

## **The extent to which arrangements for major crime and serious and organised crime provide improved capability and capacity**

### **Serious and organised crime**

The *Strategic Policing Requirement* sets out the Home Secretary's requirements for how forces should deal with five national threats: terrorism; organised crime; large-scale cyber incidents; serious public disorder; and civil emergencies.

Service-wide arrangements for dealing with terrorism operate semi-independently of forces, and involve substantial amounts of ring-fenced national funding that is not under PCCs' direct control.

EMSOU's organised crime capabilities operate as a regional organised crime unit (ROCU).<sup>17</sup> The police service has agreed a number of "Core Capabilities": 12 functions that ROCUs should provide for the forces in their regions, many of which are subject to external accreditation or assurance (these functions are described at Annex B). Currently, the EMSOU ROCU provides 11 of these capabilities, with the final area (prison intelligence) currently being considered for inclusion. HMIC's review did not carry out a detailed assessment of each of these functions, but rather examined whether EMSOU as a unit gave enhanced

<sup>17</sup> There is one ROCU in each of the policing regions in England and Wales.

capability, capacity and resilience to forces in the regions as they work to tackle organised crime.

EMSOU was one of the first ROCUs to be created. It currently comprises 346 officers and staff. This is 2.7% of the East Midlands workforce, a higher proportion than in other large forces such as West Midlands (1.3%) or Greater Manchester Police (0.9%),<sup>18</sup> and represents nearly half the expenditure in the East Midlands collaboration programme. This reflects the considerable extent of the arrangements already in place and collaborated within the East Midlands ROCU.

The national network of ROCUs is expected to provide a consistent point by which forces liaise with the National Crime Agency (NCA) after it becomes fully operational in October 2013. To ensure this model runs smoothly, the Home Office is funding a piece of work (which is being led by the East Midlands regional Deputy Chief Constable) to ensure there is consistency between ROCUs. The Home Office is conducting a review of this work's progress through a series of visits to all ROCUs (including EMSOU), which is due to report in November 2013. HMIC will then provide further, independent assurance of ROCU consistency (including EMSOU) as part of its Strategic Policing Requirement inspection.<sup>19</sup> Both these exercises will provide further assurances to PCCs in relation to the efficiency and effectiveness of EMSOU.

It is difficult to identify a clear measure of the effectiveness of police work to tackle serious and organised crime, because the full extent of offending is unknown, and criminals are continually changing their methods of offending. However, HMIC found evidence that there have been many advances in understanding both the threats posed by serious and organised crime, and the harm it causes to communities. In addition, there is evidence that in the East Midlands an effective and efficient structure exists with strong operational tactics, underpinned by a robust performance management approach which we describe more fully later in this chapter.

EMSOU and the East Midlands Regional Counter Terrorism Intelligence Unit share a building, and work under a single command. This model (which is unique to the region) is a strength – it is of note that the Southeast ROCU<sup>20</sup> is planning to implement this model – and offers some important benefits:

<sup>18</sup> East Midlands workforce is as provided by the East Midlands collaboration as the number of people in post as at 31 March 2013. West Midlands and Greater Manchester figures are Police Objective Analysis (POA) workforce estimates for 2012/13.

<sup>19</sup> Further details of this inspection can be found at [www.hmic.gov.uk/inspections/strategic-policing-requirement/](http://www.hmic.gov.uk/inspections/strategic-policing-requirement/)

<sup>20</sup> Southeast ROCU comprises Hampshire, Surrey, Sussex, Thames Valley and some Kent services.



- specialist resources can be effectively shared, and people can be moved quickly between major crime and serious and organised crime functions when needed (particularly in the intense few hours or days after a major crime), and so manage immediate risks efficiently; and
- these specialist capabilities are best undertaken at the regional level, for reasons of cost and operational effectiveness. Many of the specialisms comprise a few highly-trained and accredited staff. The East Midlands collaborative structure means that these functions, which are essential, but unnecessary at an individual force level, are provided to a more consistent standard.

One important advance in tackling serious and organised crime has been the national mapping of Organised Crime Groups, and national coordination of information on their membership and geographic spread.<sup>21</sup> This is based on a model which requires that all Organised Crime Groups be assessed for threat and harm against set criteria, and that there is a plan in place to reduce the impact of every group. These plans can be held and implemented by the NCA, ROCUs, forces or neighbourhoods. Resources can then be allocated to where they will have the most effect. We specifically considered the effectiveness of EMSOU's work in mapping, prioritising and taking action on organised crime.

HMIC found many examples of good practice in EMSOU, which gives us confidence regarding the capability and capacity of the Unit. These examples include:

- EMSOU is unique in England and Wales in that it maps all organised crime groups within the region; in other regions this responsibility may sit with forces. This ensures greater consistency and overview of the totality of demand, as well as being a more effective process for assessing risk. EMSOU works with individual forces to undertake jointly the assessment of the risks and threats presented by each group. All activity against organised crime groups is then monitored and tracked centrally by the mapping unit and the regional intelligence group;
- a lead responsible officer from either the force or EMSOU is identified for each organised crime group with the force retaining oversight and management of the organised crime group and the threat that it poses; and
- there is a review process to assess the level of risk and threat currently posed by each group, and to keep individual investigations into organised crime groups under continuous examination. This means that there is a regular review to ensure the most appropriate policing tactics are being used. The reviews are considered at the regional tasking and

<sup>21</sup> This national mapping has been carried out by a centrally located co-ordination centre (which will form part of the NCA).

coordinating group where the regional Deputy Chief Constable facilitates the decisions of the Assistant Chief Constables from each force.

There is also a comprehensive and robust performance management approach across serious and organised crime. The new National Strategy for Organised Crime (in draft at the time of this review, with publication anticipated to coincide with the NCA's launch in October 2013) includes an annex that sets out how performance in relation to serious and organised crime should be measured, for example how many organised crime groups are disrupted. The serious and organised crime performance framework covers all of these, and because it carries out mapping of all groups, has more sophisticated and comprehensive sets of information to manage performance in this area. Force Assistant Chief Constables are willing and able to explain operational activity within each force area to the PCC. EMSOU thus manages to demonstrate achievement in this area, where effort and cost are dedicated to preventing or disrupting high level criminality. We are confident that EMSOU's serious and organised crime activities lead to material improvements in safety for local people.

### **Major crime**

EMSOU Major Crime Unit has 227 staff, of whom 157 are police officers; this represents 1.8% of the total workforce in the East Midlands. It has a budget of £11.2m, which is a saving of £3.5m compared to the pre-collaboration costs across the forces. When the unit was implemented in September 2011 (after its business case was agreed in April 2011), it had two clear aims:

- Primary aim. To provide a collaborative unit to investigate crimes of murder, manslaughter,<sup>22</sup> kidnap with demands and extortion across the East Midlands region; and
- Secondary aim. To support participating forces with other investigations (i.e. those relating to crimes not set out above), subject to tasking and capacity.

The unit has since been given an additional aim in 2012: to support and assist the participating forces by providing a regionally-based Casualty Bureau service for major incidents.

### ***Efficiency and effectiveness of EMSOU major crime unit***

The major crime unit has resourced and managed every murder investigation across the region since its introduction in 2011. HMIC found that staff in the unit have a good knowledge of the skills and assets available to them. The officers

<sup>22</sup> This includes other unlawful deaths, such as infanticide and assisted suicide.

and staff within the serious and organised crime unit are used as necessary to support peaks in demand for the major crime team. This is a pragmatic approach which helps the region to manage immediate risks effectively.

When demand is lower, there is evidence to demonstrate that the major crime unit has taken on investigations which are beyond its remit, in support of forces. This approach is effective. Whilst EMSOU has a good understanding of its current workload and is staffed appropriately, the overall capacity of EMSOU should be reviewed to understand the totality of current and future demand.

One measure of the effectiveness of major crime investigation is the proportion of crimes solved. Other ways of measuring the major crime unit's success include assurance of: staff skills; investigations as they are taking place; support to forces; and the rigour of its performance framework. We consider these issues in turn.

The professionalism and the level of service provided by the major crime unit were universally praised by all ranks across the region. Homicide investigators require national accreditation to national standards. All staff on the major crime team are accredited as investigators, with their accreditation checked every year. This is a good indicator of effectiveness.

National Authorised Professional Practice<sup>23</sup> suggests regular reviews of each investigation. In the East Midlands each murder investigation is reviewed between 7 and 14 days of the start of an enquiry. This is managed between the Senior Investigating Officer and the lead for the review. The review report is provided to the Head of the Regional Review Team and the Head of Crime for the force in which the murder took place. Any recommendations and lessons learnt are managed through an EMSOU review progression panel. Where an offence remains undetected after a period of 28 days, the chief officer lead for the relevant force commissions a further review. This demonstrates good oversight of investigations, although EMSOU could strengthen this approach even further by sometimes inviting senior investigating officers from other forces or regions to provide further independent scrutiny

There are, however, opportunities for the major crime unit to improve the efficiency and effectiveness of the service still further. These include:

- ensuring the management information provided to senior managers is clear on the cost of investigations;

<sup>23</sup> Guidance developed by the College of Policing; see <http://www.college.police.uk/en/19723.htm> for further details.

- reviewing the overall current and future demand, and considering whether resources are adjusted as a result of this work;
- building a better understanding of the skills and capabilities retained in forces;
- reviewing how cold cases are managed; and
- improving the performance management approach.

Each of these opportunities for improvement is discussed in more detail below.

#### *Ensuring clarity on the cost of investigations*

The cost of each investigation by the major crime unit varies, depending on the complexity of the case. As a result, rigorous monitoring of costs is essential. Within the East Midlands, records of overtime and forensic costs are held by the individual forces rather than centrally. As a result, neither the senior investigating officer nor the head of major crime is able to monitor the full cost of a major crime investigation. This is a weakness which major crime teams elsewhere have addressed.

Investigations are financially reviewed at the conclusion of judicial proceedings, by which time any intervention opportunity has passed. In addition, HMIC found incomplete understanding of the extent to which force resources are abstracted (i.e. taken off their regular duties to assist with investigations), because forces are responsible for managing the murder investigation until the major crime team take it over, but there are no records of how long the individual force resources are retained. Some forces stated they have supplied staff for murder investigations beyond the “golden hour” of an investigation (by which point the major crime team should have taken control of managing the investigation).

As the picture in respect of resources for each investigation is unclear, HMIC is unable to assess the efficiency of the major crime unit on a case-by-case basis. This also suggests that the EMSOU lacks the relevant management information either continually to challenge the cost and efficiency of the operation of the region’s response to major crime, or to identify further opportunities for efficiencies.

#### *Use of demand analysis*

HMIC found no systematic approach to reviewing demand against the major crime team’s capacity. The region is therefore unclear as to whether the capacity of this team is meeting (or exceeding) demand. Although the Efficiency Board has reviewed the major crime management structure and the workload of each senior investigating officer, the number of homicides is falling across England and Wales, which suggests that the demand should be subject to regular review. The East Midlands region demonstrated that they could manage an unusually high number of homicides early in 2012; an understanding of how this additional demand was managed may identify scope for further efficiencies.

### *Understanding of skills and capabilities retained in forces*

There is a less effective oversight by EMSOU of the current capability elsewhere in the region. This is adversely affecting the ability of the region to fill vacancies in specialist skilled roles. HMIC acknowledges the work that is being progressed in forces to develop and introduce career pathways for officers and staff, which should lead to a standard approach by individual forces and EMSOU in recruiting, managing and developing skilled specialists in this area of policing. This would mean that opportunities to work in specialist roles are available to everyone, and that identified training and development needs will be supported, and is a welcome development.

### *Cold cases*

Unsolved crimes ('cold cases') are reviewed periodically, to test the previous investigation and to assess if new evidence or evidential techniques will help advance it. These reviews are conducted by a regional review team, who make recommendations which are then passed back to the force in which the offence took place. It is important to ensure the risks associated with the findings of these reviews are understood and appropriately prioritised amongst other investigations within the forces.

HMIC has been told of delays both in progressing these investigations on occasion, and in responding to the recommendations (which is exacerbated by the drain of skills to EMSOU). EMSOU should review the timeliness of cold case investigation and consider how the work of the review team and forces' subsequent investigations can be better coordinated.

### *Performance management*

There is scope to improve the current performance framework for major crime. Currently, it is insufficiently detailed, and based on reporting the number of homicides and the geographical spread of people and investigations, although it does consider the extent to which homicides are solved and offenders are convicted. For example, it might be useful for the forces in the East Midlands to have information about:

- the true cost per investigation, as currently this information is not available;
- the number of uncompleted actions over a certain age (e.g. 0–30 days old; 30–60 days old and so on), and trends over time. This would provide insight into the efficiencies of resourcing and investigative processes; and
- any themes arising from reviews, such as the availability of specialist staff (e.g. family liaison officers).

## Efficiency and cost savings from the collaboration programme

The original development of EMSOU was intended to provide regional resilience in respect of specialist crime investigation, with any financial benefits being incidental. However, reductions in funding for forces have led to a greater focus on the potential for the collaboration programme to save money.

HMIC found that combining individual force functions into a regional unit has resulted in cash savings. This has primarily been through:

- the reduction of posts (both police officers and police staff);
- combined units achieving greater economies of scale, with fewer overheads;
- reductions in associated running costs, such IT licences;
- the ability to build and reduce resource, meaning that forces need to pay less overtime; and
- procurement savings, due to having greater purchasing power.

### Savings by collaborated function

A business case was developed for each collaborated function, and these set out the extent to which the proposed collaboration could reduce the cost of the work. The table below shows the percentage saving that will be achieved in each business area by moving to a collaborated function.

**Figure 8: Collaboration savings by function**

£'000s	Assumed budget without collaboration savings (adjusted for 2012/13)	Business Case savings	Savings as a % of 2012/13 budget
<b>EMSOU SOC*</b>	22,000	4,000	18%
<b>TSU</b>	2,400	130	5%
<b>Major Crime</b>	15,000	3,500	24%
<b>Forensic Services</b>	3,300	830	25%
<b>Learning and Development</b>	3,000	480	17%
<b>Occupational Health**</b>	1,800	480	26%
<b>Legal Services</b>	1,100	200	18%

\* EMSOU SOC in the above table is the combined East Midlands Special Operations Unit and Serious & Organised Crime budget. This excludes the budget for EMSOU Counter Terrorism and Special Branch, which is Government funded but includes additional national funding which is provided for the regional asset recovery team and the police e-crime unit. The major crime budget shown is the major crime budget including staff costs held within force. The savings from the reduction in staffing for major crime may only result in cash saving if this results in an overall staff reduction

\*\* There is a delay in realising the savings from the Occupational Health budget as a national framework for Force Medical Officers has yet to be introduced.

Note. Numbers are rounded for simplicity.

As this shows, the level of savings achieved for each of the collaborations varies significantly. This is because of a number of factors, including the potential to achieve economies of scale; the number of forces agreeing to collaborate; whether the collaborated function provides an enhanced level of service to the public rather than cost savings and whether individual projects are fully or partially implemented. The level of savings can also be affected for individual forces if they have already chosen to make savings from these functions as part of their response to the reduction in police funding prior to collaboration.

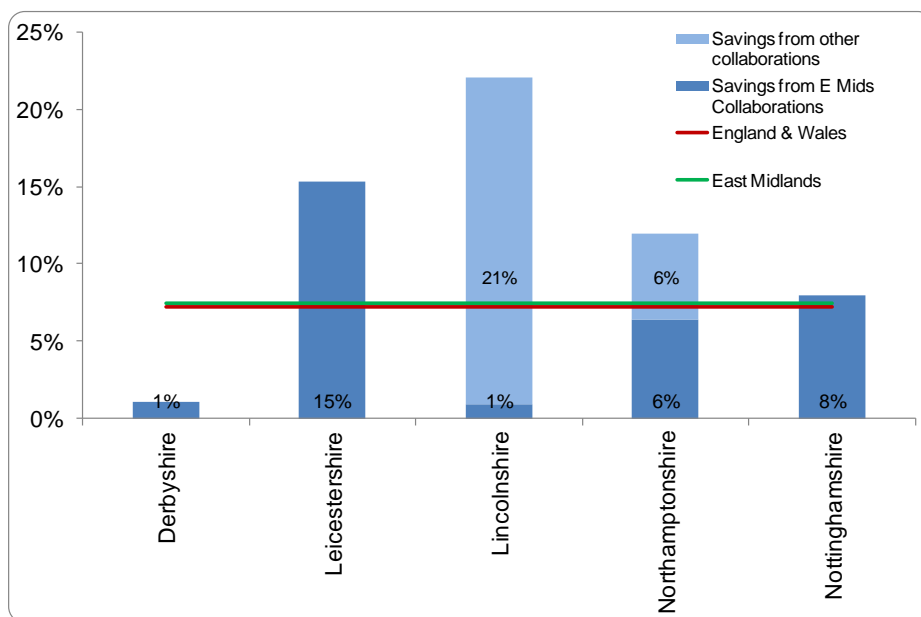
**Savings compared to pre-collaboration running costs by collaborated function**

The business cases developed by the collaboration programme clearly demonstrate reduced running costs. In order to see whether there is scope for further efficiencies, these savings should be compared (both by collaboration project and in total) with the levels of savings achieved by other forces.

**Savings from collaboration by force**

From data collected from forces as part of HMIC’s Valuing the Police programme, the savings made from inter-force regional collaboration as a percentage of the amount each force is required to save over the spending review period are on average in line with those seen across England and Wales. However, there are significant variations between forces, with Leicestershire showing a much larger element of its funding gap met by savings from the collaboration than Lincolnshire or Derbyshire. Forces and PCCs should endeavour to understand why these differences exist.

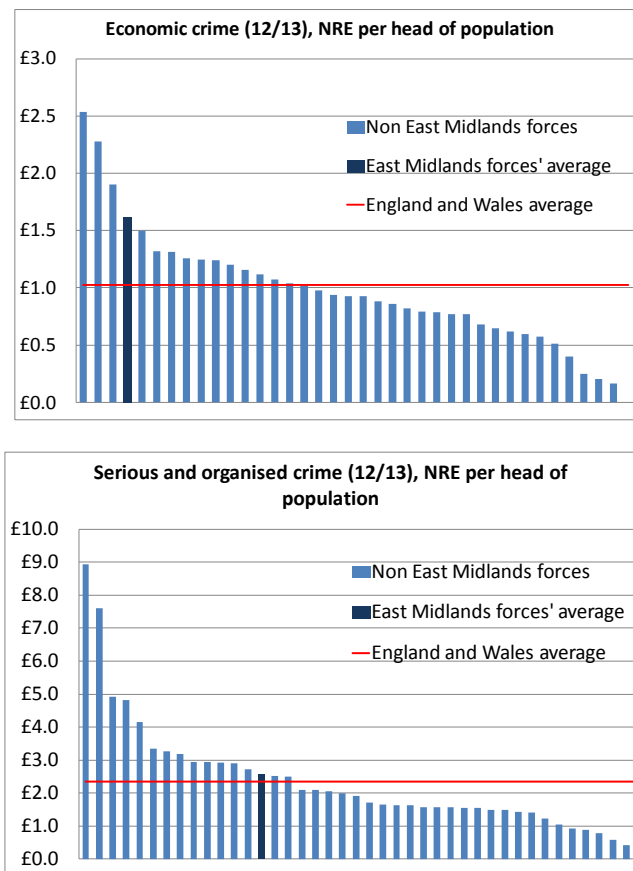
**Figure 9: Projected savings from collaboration by 2015 as a percentage of force savings requirements**



### Cost of collaborated functions compared to other forces

Comparison between the total costs of collaborated functions compared to other forces reveals a mixed picture. In some cases, the average costs<sup>24</sup> of the East Midlands collaborated functions are significantly higher than the national average:<sup>25</sup> economic crime by 54% and procurement by 31%. Both fleet costs and specialist investigation units are also slightly higher than average (both 8%), while the serious and organised crime costs are 9% above the average. In other areas, such as major investigations, East Midlands forces are spending slightly less than the force England and Wales average (8%).<sup>26</sup>

**Figure 10: East Midlands spend compared with all forces in England and Wales**

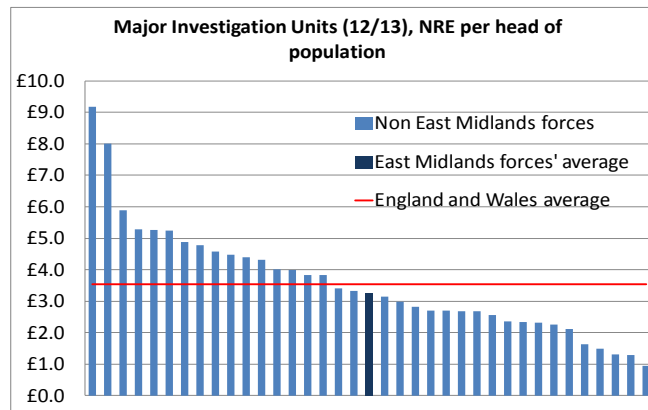


<sup>24</sup> Costs are given as Net Revenue Expenditure (NRE) per head of population, defined as total expenditure minus earned income, to show the cost to the taxpayer.

<sup>25</sup> Average of forces, excluding Metropolitan Police and City of London Police, which reported a spend within the relevant category of the 2012/13 Police Objective Analysis (POA) estimates.

<sup>26</sup> These comparisons are based on 2012/13 estimates contained in HMIC's Value for Money profiles. The profiles are due to be updated shortly with information from 2013/13 which may show a different set of comparative costs.





Note: England and Wales average is the simple average of forces, excluding Metropolitan Police and City of London Police, which reported a spend within the relevant category of the 2012/13 Police Objective Analysis (POA) estimates.

Care must be taken in drawing comparisons between forces, as there is a significant difference between the roles and remits of the respective functions (even if they have the same titles). However, the charts above indicate that in some areas the East Midlands collaborated functions cost comparatively more than the national average. PCCs need a greater understanding of why this is, and to consider this in light of any changes to costs in these functions in the latest value for money profiles.<sup>27</sup> It could well be a conscious decision for an investment in this area to enhance the service and develop additional capability. If that is so, PCCs should establish what the additional capacity is, and how it is delivering an improved service.

### Barriers to delivering greater efficiencies

One potential risk to efficiency is forces holding their own locally-based specialist teams in addition to those in the regional units. Forces described to us the need to find resources (such as technical support or surveillance officers) to deal with those issues which do not meet the threshold for the deployment of regionally-based officers and staff, but which still require the specialist skills which were transferred into the regional teams.

In some forces, this potential requirement had been identified, and the capacity and capability to meet this need retained. The following table shows both the cost of holding this commitment locally and the variance in the investment by forces, although it is worth noting that this spend constitutes only 0.5%, suggesting that this retained capacity is relatively marginal.

<sup>27</sup> HMIC's value for money profiles provide benchmarking information on what the police are spending their budgets on; staffing levels by grade and function; and outputs and outcomes. They are based on data provided by the police, and available from [www.hmic.gov.uk](http://www.hmic.gov.uk).

**Figure 11: Dedicated serious organised crime resources retained within forces**

Force	Retained serious organised crime resources		Approximate cost
	Police officers	Police staff	£ 000's
Derbyshire	16	0	870
Leicestershire	26	0	1,410
Lincolnshire	0	0	-
Northamptonshire	11	0	600
Nottinghamshire	20	1	1,120
			4,000

Note. The approximate cost shown has been calculated using the average cost per officer / staff within the East Midlands from the 2012/13 POA estimates. Figures have been rounded to the nearest ten.

Some officers and staff told HMIC that one of the reasons for establishing or maintaining this kind of local capability was uncertainty about the threshold at which regional resources would be made available to support local policing requirements. Flexibility in the use of specialist resources is imperative to the effective management of risk. It is also important that officers and staff within individual forces have a clear understanding of the circumstances in which regional resources can be secured, and of how to do this. This will help to ensure the most appropriate resources are deployed, as well as reducing the risk that forces will unnecessarily build local resilience to meet a demand which should be met through regional arrangements. Although such local resilience is relatively small, clarifying these issues provides scope to increase efficiency further.

The PCCs receive performance information to allow for effective governance of collaborated units, including major crime and serious and organised crime. This was being further developed at the time of the HMIC review, as a result of the PCCs' request to be provided with information that enables them to better understand operational risks and opportunities, as well as the wider benefits of collaboration in these areas of policing.

HMIC recognises the difficulty in measuring the performance of major crime and serious and organised crime investigations effectively. However, we identified limitations in the management information available, such as in relation to the costs and resources associated with specific investigations. This is because the information is held by individual forces, and not collated centrally which reduces the ability of managers to assess in any detail the efficiency and effectiveness of their teams and of individual investigations.

## **Leadership and governance**

HMIC found that the leadership of the current collaboration arrangements has been strong, and the arrangements to manage change in order to progress the regional collaboration programme have been effective. However, it is now important for Chief Constables and PCCs to review whether the East Midlands Police Collaboration Team (EMPCT) has the necessary skills to take regional collaboration to the next level (for example, expertise in programme and business change management).

EMSOU is headed by a regionally appointed Deputy Chief Constable, who reports to the regional Chief Constables. This Deputy Chief Constable is also responsible for the regional collaboration programme through the East Midlands Police Collaboration Team (EMPCT).

The collaboration programme has an established governance structure to support the development of collaboration proposals. This includes a Police and Crime Commissioners Board (PCCB), which is attended by the region's PCCs and Chief Constables. It is at this board that the final decisions to collaborate are taken.

Staff and officers considered that the structures in place supported timely decision-making, and allowed the programme to progress effectively. Consideration is currently being given to improving the involvement of PCCs in the collaboration programme, and strengthening the governance arrangements still further.

To progress a broad programme of collaboration across five forces is particularly ambitious, and HMIC commends all those involved for their commitment and leadership. It is imperative that what has been created is preserved, and that the current leadership, through the Chief Constables, is able to work collectively to improve and expand upon what has already been achieved.

## **The Efficiency Board**

In February 2013, the PCCs agreed to the establishment of a regional Efficiency Board. The purpose of this board was to explore all aspects of the PCCs' financial commitments in respect of the regional collaboration arrangements, and the ways in which these formed part of their respective medium-term financial strategies. This was the first time EMSOU had been asked to find substantial financial savings from already collaborated functions.

HMIC was asked to review the Efficiency Board's programme of work, and in particular to quality-assure the following themes of the programme:

- Theme 3: The review of how workforce modernisation might deliver efficiencies (conversion of police officer posts into staff posts);

- Theme 4: The review into potential savings from management costs; and
- Theme 5: The review of the potential to replace the existing collaboration team with ad-hoc project teams for individual collaborations.

HMIC found that the Efficiency Board has helped to progress thinking in respect of the efficiency of the current regional structure and assets. However, the short timeframe in which the work has been completed has limited the amount of consultation and engagement across the region. This in turn has limited the breadth and depth of the work undertaken.

### **Theme 3**

When considering which police officer roles might be suitable to be undertaken by police staff, HMIC found that the assessment was completed by managers in the respective collaboration teams, and not subject to any form of independent review. This could have introduced inconsistencies. If the proposals to convert the identified posts are progressed, an agreed approach should be adopted to ensure each post is risk-assessed in a consistent way, and is subject to independent oversight according to clearly specified objective criteria. It is also crucial that this work links into the individual forces' change programmes.

### **Theme 4**

HMIC found that the Board has become focused on a pre-identified financial savings target, as opposed to the efficiency of the current arrangements. This potentially limits the extent of the proposals put forward by the Board, and leaves significant gaps in the regional understanding of whether the current assets are deployed as efficiently as they could be.

However, while the financial focus has taken precedence, HMIC found that some limited opportunities to consider improvements to the service delivery models currently in place within the region have been included in the recommendations of the Board. This is particularly evident when discussing the review of operational assets and the management structure across the regional teams.

## **Conclusion**

In conclusion, HMIC finds that the current regional collaboration arrangements are effective, and considers it extremely important that they are continued and expanded. Our review found clear evidence that these arrangements provide substantial capability, capacity and resilience. We have also identified some areas for improvement. In particular, it is important that lessons learned from earlier collaborations are reflected in plans for joint working in the future.

## 2. Is the developing programme fit for purpose?

In this section, we consider the following topics:

- a) existing plans for future collaboration; and
- b) barriers to further development: fragmented IT, and pace and ambition.

### Existing plans for future collaboration

The table below details those areas of business which were reported as being considered or under development for collaboration at the time of this review.

Not all five forces are engaged in every aspect of the programme, and force decisions about whether to be involved in particular collaborations sometimes change. This may be because the force is already collaborating on a particular function (for instance, Northamptonshire already has in place a shared service approach with Cheshire Constabulary, with the functions in question provided by a private sector organisation in Lincolnshire.)

**Figure 12: The current programme for future collaboration in the East Midlands**

Specialist Crime Portfolio	Internet Investigation (Scoping)	Immigration Crime (Scoping)	Prison Intelligence (Scoping)
	Radio Frequency Propagation (Scoping)	E-Forensics (Scoping)	E-Borders (Scoping)
Operational Support Portfolio	Information management (Scoping)		ICT (Outline Business Case)
	Criminal Justice (Full Business Case)		Contact Management (Scoping)
Specialist Operations Portfolio	Civil Contingencies (Scoping)		Motorcycles (Scoping)
	Strategic Roads Crime (Scoping)		Firearms Interoperability (Full Business Case)
	Specialist Dogs (Outline Business Case)		
Resources Portfolio	Estates and Facilities Management (Scoping)		Corporate Services (Scoping)
	Fleet Management & Workshops (Scoping)		Finance & Admin (Transactional/Payroll & Treasury) (Scoping)

As this table shows, many of these projects are in the early stages of development, and so their potential benefits had not been fully assessed at the time of this review. It was therefore not possible for HMIC to make a full assessment of their potential benefits at this stage. However, we were able to assess the overall approach by examining how the collaboration programme prioritises areas for collaboration and develops business cases.

The East Midlands Police Collaboration Team (EMPCT) is responsible for identifying and evaluating the options for collaboration, and commissioning the various business cases. These are then considered by the various regional governance boards.

The current business case approach has the following strengths, giving confidence in the proposals being developed for future collaboration:

- the development of business cases and their submission through the existing governance structures for collaboration is well-established;
- the development of the business cases is done in consultation with all of the regional forces, and includes good communication with people who work in the areas of business being considered for collaboration;
- business cases are generally written in a consistent way, enabling some comparisons to be made; and
- there was some evidence of a continued willingness to identify opportunities that will enable the collaboration programme to make further beneficial progress. For example, the suggested collaboration in respect of police contact centres was halted in 2011, but has recently been reconsidered with an alternative approach to the proposed regional structure identified. However, HMIC has some concerns that the alternative approach is less ambitious, and will result in lower savings, capacity and resilience than the earlier proposals.

HMIC identified the following weaknesses in the current approach:

- the process by which areas of business for potential collaboration are identified or put forward for discussion is unclear. For example, a large proportion of officers we spoke to said they were not asked to make suggestions to help to develop the scope of the programme;
- each new collaboration proposal is developed in isolation from any others which are under concurrent development. There is also little learning drawn from previous experience, resulting in a patchwork of joint arrangements;
- themes which are opportunities or blockages are not systematically identified;

- where a suggested area for collaboration had been discontinued during the development process, there is no formal process by which it is routinely reassessed and reconsidered; and
- the following important considerations were not included in the majority of the business cases we reviewed:
  - the risks associated with progressing with a proposal to collaborate were not fully described, nor did the business cases consider the risks or effects of not progressing with the proposed collaboration;
  - the consideration of how the proposal affected the workforce was not adequate; and
  - an exploration of how the proposal to collaborate would affect the service received by the public was sometimes lacking.

These areas are fundamental to ensuring that the decisions whether to proceed with the collaboration are right, and that all of the relevant issues have been considered. Staff associations were particularly concerned about the effect that the collaboration proposals had on staff, where (for example) staff were re-located some distance from their existing workplace.

The EMPCT should ensure that the effect on the workforce, the risks and the effect of collaboration on the service received by the public are properly considered and included in future business cases. These issues should also be reviewed when the collaboration arrangements are reviewed.

Therefore, while HMIC found a comprehensive structure and common approach to developing business cases, there are some significant issues in relation to their content that must be addressed, before it is possible to have complete confidence in the robustness of this approach.

A number of areas for collaboration have been considered by the five forces but not progressed. These are summarised below.

**Figure 13: Areas for collaboration considered, but not progressed**

Area of business	Rationale for stopping
Contract management (control rooms)	Different working practices and technology in control rooms.
Dedicated Authorities Bureau and Dedicated Source Unit	The costs of introducing a compatible IT system at the time of discussing the proposal to collaborate were not economically viable and because the nature of the work required close local liaison with the covert authorities' bureau and authorising officers.
Force Intelligence Bureau single point of contact functions	No reason recorded in the minutes of the decision-making board.

Professional Standards Department – Anti Corruption Unit (ACU)	No desire for regional ACU due to the levels of investment required by some forces to ensure all have comparable levels of resources. Agreement reached to align working processes and provide mutual support.
Specialist Crime (covert authorities)	Incompatible IT.

The projects that have been ruled out are therefore small in number, and involve relatively low-cost functions. The exception to this is contact management, where the potential to achieve efficiency savings are much greater. There is some evidence that elements of contact management are still within the breadth of the overall collaboration project, although under the current proposals each force will still retain a control room. Some of those working in the collaborated functions believed there was value in collaborating in all these areas; and if the underlying issues such as IT can be addressed, then the decision not to proceed with these projects may be worth reconsidering.

## Barriers to the developing collaboration programme

As set out earlier in this report, the collaboration programme in the East Midlands has developed incrementally, as individual areas of business have been evaluated and progressed. Forces in the East Midlands have “worked around” some of the oft-cited barriers to collaboration (such as different IT systems, or varying terms and conditions of service between officers and staff from different forces). This pragmatic approach has allowed the East Midlands to build up a significant level of shared capability and to develop crucial momentum for the overall programme of collaboration. However, these work-arounds have meant that some of the fundamental enablers of collaboration (including a cohesive IT solution, and pace and ambition, both discussed in more detail below) have not been addressed. This risks the overall efficiency and effectiveness of the programme, as well as limiting opportunities to extend it further.

### Fragmented IT

Force crime and intelligence IT systems underpin much of EMSOU’s work. Currently, each force in the East Midlands has a different system,<sup>28</sup> while officers have no remote access to other forces’ systems, and have different logins for each one. While officers have managed within these regrettable and frustrating constraints, it would be quicker (and involve less scope for error) for

<sup>28</sup> Lincolnshire Police’s crime and intelligence system is NICHE, Leicestershire Police’s is ABM CIS, while Derbyshire Constabulary use Guardian. Northamptonshire Police has an in-house crime system and an in-house intelligence system, while Nottinghamshire Police has a Capita Crime CRMS system and Memex intelligence system.



there to be a single log-in that provides access to all relevant systems, and systems which could speak to each other. As the forces endeavour to work more closely in areas such as contact management and criminal justice, the fact that they have divergent systems<sup>29</sup> will again require either a work-around, or a more fundamental consideration of how the IT infrastructure can enable and facilitate joint working and more effective operational practices.

### **Pace and ambition**

While the proposed areas for future collaboration are largely in line with other forces, there is evidence that the pace of collaboration is slowing in the East Midlands. At the time of this review, a total of 14 business cases had been developed through the collaboration programme (from an initial proposal, through to a full business case and implementation). However, there has been a decrease in the number of business cases being put forward each year, with just two progressing to implementation between January and August 2013.

There was also evidence that senior officers from the five forces had been unable to reach agreement on a number of proposed areas for collaboration, and that there are divergent views in respect of each force's ambitions for this programme. Officers and staff were aware of these views and believed that they were a barrier to the full realisation of benefits from the collaboration programme. HMIC shares these concerns.

Evidence from other forces suggests that one of the important drivers for successful and extensive collaborations is a clear and agreed vision on the extent of collaboration. Many forces had adopted an approach to collaborate in principle, and then ruled out areas rather than developed individual business cases for each area of inclusion. This approach allows:

- a better consideration of interdependencies;
- cost and benefits to be considered across the whole range of work (rather than focusing on winners and losers from individual business cases); and
- a clear approach to be communicated to staff.

We address this issue more extensively in the next section of the report, when we consider the potential for collaboration in the region.

<sup>29</sup> For example, two forces have Steria Storm Command and Control systems, while the other three use Capita systems to support contact management and call-handling.

## Conclusion

The East Midlands region is continuing to develop its plans for future collaboration activity building on the solid foundations of the EMSOU arrangements. It is developing business cases to assess the benefits for joint working in a range of policing areas, on many of which other forces in England and Wales are already collaborating. Many of these projects are in the early stages of development, and so their potential benefits could not be fully assessed at the time of this review. There is a strong process for developing business cases, but it fails to contain some important considerations. Moreover, some business cases are too often developed in isolation from each other. There are also two risks to the successful development and delivery of the emerging proposals for collaboration. The first is there is no substantive and coherent vision for future collaboration work, which has stalled since the implementation of serious and organised crime and major crime. The second is major underlying differences between the forces in important areas have not been systematically addressed.

### 3. What are the future opportunities for collaboration?

There is a range of collaborative opportunities that have not been adequately progressed within the East Midlands region, and examples of much more ambitious programmes of collaboration are developing in other forces. Other programmes, such as those within Norfolk and Suffolk or Warwickshire and West Mercia, have a stronger level of commitment to a wider range of policing functions, and are moving at a greater pace. As a result, they are securing greater levels of savings from collaboration, and so contributing to their spending review challenge objectives. HMIC therefore considers that there is substantial potential for the region to collaborate further, in order to secure greater financial savings. This will help forces both to protect their frontlines, and to provide an even more efficient and effective service to the communities they police. However, for these opportunities to be realised, regional forces need to reach a common understanding of and agreement on the future model for the delivery of regional policing requirements; for example, which functions will remain local and which will be delivered collectively; and how these will be supported, for example by a single IT platform which provides the best value for the public purse.

The motivation for collaboration across the region has evolved over a period of time. Initially, the reason for force collaborations was to sustain the delivery of particular services; this evolved into a desire to improve the resilience and capability of specialist crime investigation. However, in common with the national picture, the reason for collaboration has changed as a result of cuts in police budgets, with the region increasingly using collaboration as a means of finding savings through greater operational efficiency and effectiveness

In our report *Policing in Austerity: Rising to the Challenge*, the amount of savings from collaboration across England and Wales is reported as “deeply disappointing”, with only £182m of planned savings from collaboration identified by forces in England and Wales over the spending review period.<sup>30</sup> This is only 7% of the savings gap.

A similar situation is reported in the East Midlands, where the planned saving from regional inter-force collaboration is 7% of the total savings requirement of the five regional forces. Although individually some of the forces within the region achieve more than this figure, this is still disappointing, given the scope and number of staff involved in the East Midlands collaboration arrangements.

<sup>30</sup> *Policing in Austerity: Rising to the Challenge*. HMIC, July 2013, page 76.

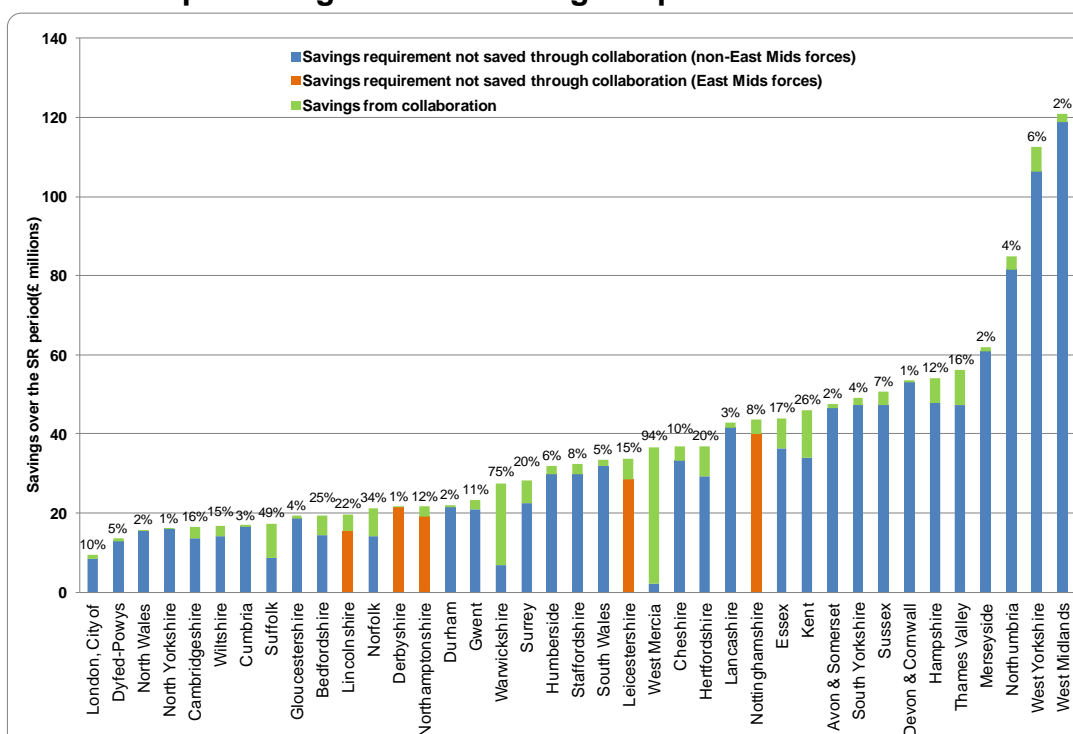
## The national picture of collaboration

Across England and Wales, forces vary significantly in relation to how far they collaborate, the ways in which they collaborate, and the amount of savings achieved through collaboration. For instance, some forces are not anticipating making any of their savings requirements from collaboration, while Warwickshire Police and West Mercia Police are expecting to achieve 75% and 94% of their respective spending review savings through collaboration, due to the fact they have the most extensive collaboration project in England and Wales.

On average, forces in England and Wales plan to use collaboration savings to meet 7% of the savings requirement. As set out earlier in the report, all the East Midlands forces are using collaboration to balance more than 7% of their budget – apart from Derbyshire Constabulary, where only 1% of the savings requirement is being met through collaboration. Lincolnshire Police has the highest proportion of its savings requirement met through joint working, due to the extensive nature of its collaboration with a private sector partner.

However, forces from outside the region in more extensive collaborations are showing a higher level of savings. For example, Norfolk and Suffolk Constabularies are showing savings that cover 41% of their overall spending objective, while Essex Police and Kent Police are showing savings of 22%.

**Figure 14: Projected savings from collaboration for all England and Wales forces as a percentage of force savings requirements for 2011-2015**



Note: Metropolitan Police, Greater Manchester Police and Cleveland Police were unable to provide data on planned savings through collaboration so are excluded from all relevant analysis. Dorset Police is also excluded as it is planning to spend rather than save in collaborative areas.

A comparison of the police collaborations that are currently in place across police forces in England and Wales with those currently in place in the East Midlands shows that while the East Midlands is already collaborating in a number of areas, there is significant scope to commit to firm plans to collaborating across a much broader range of policing activities.

Many of the areas where the East Midlands could extend its collaboration are already in scope as future proposals, although potentially without all five forces. Many forces are collaborating fully on their business support functions, and an increasing number are starting to operate joint criminal justice units and collaborating on force control rooms and contact management. There is existing practice that the East Midlands should evaluate and consider in order to make more rapid beneficial progress in collaboration in all these areas.

The two significant areas of exclusion are custody and protecting vulnerable people, where a number of other forces have plans for collaboration or collaborated units already in place. However, with both these areas there are clear links to local policing. In the case of custody, there are important interdependencies with local response officers and the development of prisoner investigation teams, and with protecting vulnerable people (depending on force structures) this may be locally-based to align with local partners. Should the forces wish to consider broadening their proposals to include these areas, it would require careful consideration in the context of future proposals for local policing.

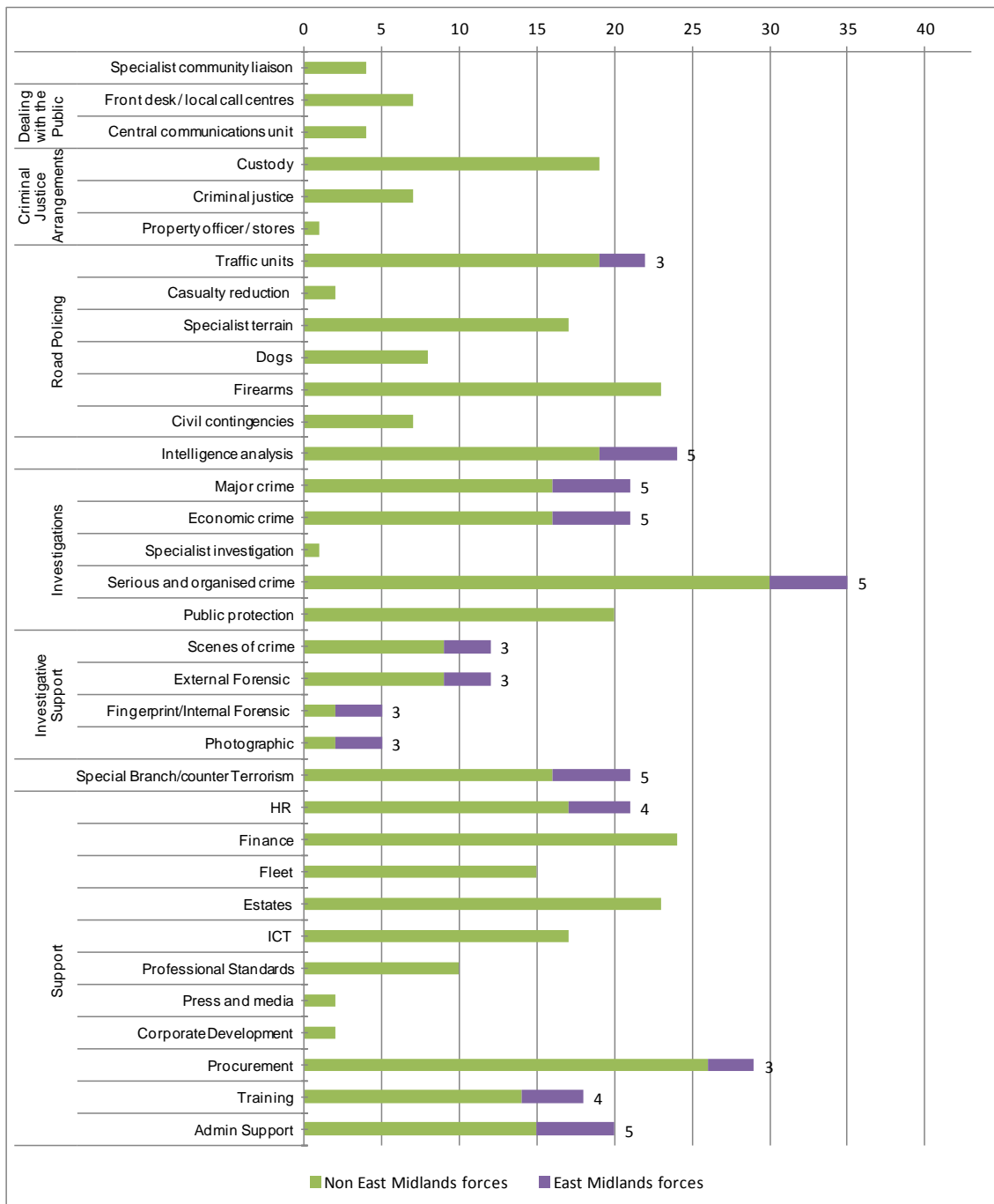
## **Expanding the current East Midlands collaboration programme**

In order to expand the current programme, the East Midlands region needs to consider how best to address some of the underlying barriers to collaboration (as set out in the previous section). Many of these issues are ones which have been tackled by collaboration programmes in other forces, and which are acknowledged by a number of staff and officers interviewed as part of this review.

### **Vision and pace**

This report has acknowledged the strong and cohesive leadership which drove the development of EMSOU. This regional approach was ahead of its time. However, it has also reported the views of officers and staff (both from the collaboration programme and in force) that there is now a lack of agreement between the leadership as to the future of collaboration in the region. There are different numbers of forces involved in different collaborations (and forces sometimes vacillate over whether or not they want to take part); this does not give a collective, clear and certain vision for the future programme of work.

**Figure 15: Number of forces collaborating by function**



Note. The figures provided give the number of East Midlands forces collaborating in each of the functions where collaboration is in place. Categories used are Police Objective Analysis (POA) Level 2 headings where at least one force is collaborating. Those functions where no forces are currently collaborating are excluded.

Extensive and rapid collaborations have progressed elsewhere in England and Wales where there has been a clearly articulated advance commitment to a high degree of collaboration by all parties. Achieving this in the East Midlands will be more complex, because there are five partners (more than anywhere else); however, there is a strong history of collaboration between these forces on which to build. A substantial commitment to a high degree of collaboration

also allows an overarching business case for the totality of the collaboration to be developed. Other regions have failed to deliver extensive collaborations when they have relied on a business case-by-business case approach. This risks progress being stalled, as all costs and benefits across the programme are not considered together, but with individual forces winners and losers each time a business case is developed.

The Home Office statutory guidance on collaboration<sup>31</sup> emphasises the need for a force to understand the greater, collective good:

*It is important for all partnering forces to understand that a collaboration may not provide equal benefits in all parts to all participants or in total but is sometimes necessary for the greater collective good. A policing body would not be acting outside its statutory duty under section 1 of the 2011 Act (to maintain an efficient and effective force for its own area) if its contribution to a collaboration in terms of resources, funding or liability was unequal, provided that the collaboration is considered to be to the benefit of at least one police force or policing body. Section 23A of the 1996 Act also uses the test of efficiency and effectiveness for entry into an agreement in relation to one or more policing bodies or forces.*

A shared commitment to collaboration needs to translate into a vision as to how these services will operate. Chief Constables need to agree on the operational requirements for particular areas of business, on whether any local variations can be accommodated, and on the effects this would have on efficiency and effectiveness of the overall collaboration. Learning from other forces shows that a degree of compromise will be necessary.

Collaboration in the East Midlands has reached a critical point. With continuing austerity and policing challenges, the PCCs and Chief Constables need to act decisively on what the future of collaboration in the region will be. If one or more of the five forces decides not to engage in some or all of the programme, it could result in the force(s) in question becoming isolated from the region, with no way to re-engage easily further down the line.

### **Exploiting economies of scale through true integration**

Analysis of some of the existing and proposed collaborations in the East Midlands suggests that whilst the forces are collaborating the services are not truly integrated. For example, the original plan was that major crime investigations would operate from only three locations, in order to maximise economies of scale. However, all forces considered that it was important to have a footprint in each county, so major crime investigation ended up being provided through a five-hub model. (A similar approach seems to be planned for

<sup>31</sup> Available from [www.gov.uk](http://www.gov.uk)

collaboration on the contact management function, where it is proposed each force retains its own control room.)

While a desire to maintain a footprint of individual services in each force is understandable, it compromises achievement of the greatest efficiencies, and prevents further savings (for example, through estate rationalisation). An overview of the collaboration programme in its entirety, and clear operational requirements for services, should mitigate the risks perceived by forces in not having their own footprints. This should give Chief Constables confidence in the provision of these policing services, irrespective of where the function is based within the region.

## **Infrastructure**

Collaboration across all areas of policing should be supported by the five forces collectively addressing some of the problems with the infrastructure, which are currently barriers to closer working. For example:

- collaborations in other forces have relied on interoperable IT, or a single system. For example, Bedfordshire Police, Cambridgeshire Constabulary and Hertfordshire Constabulary all moved to the same IT system to support their collaboration on call-handling. In contrast, the East Midlands forces have a range of different systems that support their frontline, operational and business support services. Towards the end of the review period, HMIC was made aware of encouraging proposals regarding a joint IT vision, with both technical and business process aspects under consideration. This will be a significant enabler for collaboration. HMIC is however concerned that if this proposal excludes one or more forces within the region, it may be a hindrance to future collaboration, as well as having an adverse impact on existing collaborated services; and
- different terms and conditions of employment are barriers to many force collaborations. Individuals doing identical jobs in the same unit but in different forces can be on very different terms and conditions of service, which can be difficult to manage and have various adverse implications for the cost of collaboration (for example, it can affect how travel and relocation costs are paid). Warwickshire Police and West Mercia Police developed a standard set of terms and conditions in order to solve these problems.

These are complex issues, and successful collaborations have had dedicated and expert resource in their collaboration programme teams to resolve them. The size and cost of the collaboration team has been kept under strict review, but working towards single or interoperable IT systems, evaluating jobs and



roles and harmonising conditions of service, and communicating all the changes to staff, require some specialist skills and additional resource.

## **Conclusion**

This is a critical point in the future of collaboration in the East Midlands. Chief Constables and PCCs need to take decisive action if they are to continue to benefit from the advantages which joint working brings, and to maximise the savings that it offers. As a matter of urgency, the Chief Constables and PCCs within the East Midlands region should develop a clear and integrated vision and programme of work for collaboration in the East Midlands. The principal components of this programme are set out in our recommendations. This should be developed in such a way that all forces are able to influence what the future policing arrangements for the region are to be, and how they will work.

## Recommendations

1. Develop a clear and integrated vision and programme of work for collaboration in the East Midlands, which builds on the current successful collaboration. This should set out how collaborated services will be configured, when they will be in place, and how and where there is scope for forces to offer different levels of service to their public within the collaborated arrangement. In so doing PCCs and Chief Constables should have specific regard to their duties as described in the legal framework for collaboration.
2. Create a detailed, overarching business plan, which sets out the functions, costs and benefits of collaboration, and articulates a commitment to joint working across an identified range of functions. This plan should include information on the benefits for and impact on the public, local policing, collaborated policing functions and staff.
3. Develop services that are truly integrated, rather than simply shared. This may require difficult decisions about where services are situated, for example as to the location of force control rooms or major crime hubs. However, the current desire for every force to retain a footprint in the provision of regional services risks the effectiveness of the collaboration as a whole.
4. Address some of the variance in the underlying infrastructure which should support joint working (such as ICT, employment terms and conditions, and finance and budgeting approaches).
5. Continue to ensure the skills of the collaboration business change team reflect the complexity and breadth of the overall programme.

## Annex A: Terms of reference

The commission's purpose is to provide high-level assurance on the overall approach to collaboration between, and by, forces within the East Midlands Policing region;<sup>32</sup> by assessing current arrangements; by assessing what is being developed and by considering future possibilities.

Included within the commission will be a review of how the collaborative arrangements are benefitting the forces and PCCs in meeting their forces financial challenge, while maintaining or improving policing service delivery and reducing risks to the public.

### Scope

The review will focus on three principal areas of assessment:

#### 1. Current regional collaborative arrangements

- A review of the regional efficiency board programme of work including the methodology and any analysis that underpins assumptions that are made. To include quality assurance of specific aspects of the Efficiency Board Programme, in particular the following themes of the programme:
  - Theme 3: The review of how workforce modernisation might deliver efficiencies (conversion of police officer posts into staff posts);
  - Theme 4: The review into potential savings from management costs; and
  - Theme 5: The review of the potential to replace the existing collaboration team with ad-hoc project teams for individual collaborations.
- To review the current situation in respect of the capacity and capability of existing operational arrangements for major crime and serious and organised crime (Theme 6), and to report independent judgements from this review.
- To comment on the benefits and the level of savings from collaborative arrangements.
- To comment on the leadership and governance arrangements of the regional collaboration programme.

<sup>32</sup> East Midlands region police forces are Derbyshire, Leicestershire, Lincolnshire, Northamptonshire and Nottinghamshire.

## **2. Current or emerging proposals for regional collaboration**

- A review of proposals for further regional collaboration and completion of a benefits assessment to consider whether they are realistic.
- A review of options that have been rejected considering why they were rejected, were they rejected appropriately and was a valid assessment completed before being rejected.

## **3. Opportunities for future collaboration**

- An assessment of the collaborative opportunities that are not being scoped within the region, against collaborative arrangements nationally.
- A review of the future opportunities from collaboration.

HMIC will consider the following:

- how the strategic business cases were developed and how robust they are;
- governance and organisational management including resource skills and expertise;
- what is included and excluded, how collaboration contributes to the wider organisational strategies and service delivery, including future service provision, transition arrangements and investments, expandability of service provision;
- a comparison of costs where similar collaborations are undertaken elsewhere in England and Wales. This will be informed by data provided by forces as part of HMIC Valuing the Police and Strategic Policing Requirement programmes;
- how collaboration meets the needs of the business, its affordability, whether it is achievable and whether it will deliver value for money; and
- risk identification and risk management.

HMIC will consider the following:

- how the strategic business cases were developed and how robust they are;
- governance and organisational management, including resource skills and expertise;

- what is included and excluded, how collaboration contributes to the wider organisational strategies and service delivery, including future service provision, transition arrangements and investments, expandability of service provision;
- a comparison of costs where similar collaborations are undertaken elsewhere in England and Wales. This will be informed by data provided by forces as part of HMIC's Valuing the Police and Strategic Policing Requirement programmes;
- how collaboration meets the needs of the business, its affordability, whether it is achievable and whether it will deliver value for money; and
- risk identification and management.

## Annex B: Components of a regional organised crime unit (ROCU)

- a regional intelligence unit;
- a regional asset recovery team
- a technical support unit
- a confidential unit receiving multiple data sources;
- a fraud investigation capability;
- a witness protection and protected persons capability;
- an operational security capability
- a covert policing capability including the ability to manage undercover operatives
- a technology enabled crime, cyber crime or e-crime capability;
- a prison intelligence unit;
- multi-agency intelligence sharing such as GAIN;<sup>33</sup>

<sup>33</sup> *GAIN -The Government Agency Intelligence Network*