



west midlands
office for policing
and crime

West Midlands Police Task Force

Delivery Options Paper

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ISSUED

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Glossary of Terms

Term	Definition
5Ci	Command and Control, Communications, Multi Channel Management, Co-ordination and Tasking and Intelligence programme
ACPO	Association of Chief Police Officers
BEST programme	Birmingham City Council's Belief Excellence Success Trust programme to engage frontline staff in developing ideas to improve services and value for money
Blue8	Geographic Information system
BPP	Business Partnering for Policing
CI	Continuous Improvement programme
CIO	Chief Information Officer
City Deal	Government initiative to give cities more new powers over their transport, education and infrastructure building budgets
CJC	Community Justice and Custody
CORVUS	Corporate Force Tasking and Briefing application
COTS	Commercial Off The Shelf system
CRB	Criminal Records Bureau
CSR	Comprehensive Spending Review
DA	Design Authority
DFID	Department for International Development
Diamond Awards	WMP annual awards to recognise those who have acted 'above and beyond' expectations
EDHR	Equality Diversity and Human Rights group
EPPF	Efficiency and Productive Policing Framework
ERP	Enterprise Resource Planning system
FLINTS	Intelligence search system
FOI	Freedom of Information

HMIC	Her Majesty's Inspectorate of Constabulary
HR	Human Resources
ICCS	Integrated Communication and Control systems
ICIS	Integrated Custody Information system
ICT	Information Communication and Technology
IIP	Innovation and Integration Partner
IM	Information Management
IMS	Intelligence Management system
IOC	International Olympic Committee
IOM	Integrated Offender Management
ISOP	Invitation to Submit an Outline Proposal
IT	Information Technology
ITT	Invitation to Tender
JV	Joint Venture
LEP	Local Economic Partnership
LPU	Local Policing Unit
MAPPA	Multi Agency Public Protection Agency
NCA	National Crime Agency
OASIS	Command and Control system
OCG	Organised Criminal Groups
OD	Organisational Design
OGD	Other Government Department
OJEU	Official Journal of the European Union
OSD	Organisational Service Department
PAG	Police Activities Glossary
PBB	Priority Based Budgeting programme

PCC	Police and Crime Commissioner
PMO	Programme Management Office
PNC	Police National Computer
PQQ	Pre-qualification Questionnaire
PSN	Public Services Network
RFP	Request for Proposal
SARC	Sexual Assault Referral Centre
SIAM	Service Integration and Application Management
SLA	Service Level Agreement
SME	Small and Medium Enterprises
TOM	Target operating model
TUPE	Transfer of Undertakings (Protection of Employment)
UKBA	UK Border Agency
WAN	Wide Area Network
WMP	West Midlands Police

1 Executive Summary

This paper outlines the options available to West Midlands Police (“the force”) to meet the pressing need to modernise and thus radically reform its operating model including its processes, people development, technology and infrastructure. The requirement for such wide-ranging change is driven by two primary challenges facing the force: making significant performance and public service improvements; and achieving a predicted savings target of around £100m over the next four years, commencing 2013/14.

The Business Partnering for Policing (BPP) programme was originally envisaged as a mechanism to achieve this. Following appointment of the PCC the Task Force was established to review options for delivering change in light of a combination of changing public attitudes, more experience of the most effective mechanisms to enable the public and private sector to work in partnership and the need to maintain flexibility in increasingly uncertain times.

However, the force still requires a bold strategy that fundamentally reassesses how the organisation operates to meet its challenges and achieve its ambition. An assessment of the force’s current business change capability shows that, although significant progress has been made in the last three years, the force does not have sufficient breadth and depth of business change capability to meet the scale of the challenge. The force’s ICT capability has also been assessed, in recognition of the fact that extensive ICT design and implementation will be vital to significantly changing the force. Again the assessment is that the current capability of the ICT service is not sufficient to successfully deliver the scale of change needed.

This paper therefore outlines five options for the force, namely:

- Option 1: Internally-led change
- Option 2: Internally-led change and externalisation of ICT
- Option 3: Change jointly-led with an Innovation and Integration Partner (IIP)
- Option 4: Change jointly-led with an Innovation and Integration Partner (IIP) + ICT
- Option 5: Externalisation of ICT and other support services

The options are explained in more detail in the paper but, having assessed them against a set of evaluation criteria specifically designed to reflect the force’s circumstances and priorities, **Option 4 - Change jointly-led with an IIP + ICT has been identified as the preferred option.**

However, as inclusion or exclusion of ICT may have a limited impact, it is recommended that both Options 3 and 4 should be developed in more detail. It is also noted that, should the force progress with either of these options, the current procurement process (previously used for the BPP programme) would no longer be appropriate and would need to be cancelled.

This preferred option would involve an internal change team working in close partnership with resources provided by a third party, private sector IIP and embedded within the force, to:

- jointly develop the strategy for change;
- design a new operating model (including ICT);
- design the change programme; and
- jointly manage the change programme.

The partner would also, either directly or via the involvement of specialist service providers under sub-contract, be accountable for the implementation of the new ICT required by the force. Thereafter, the role could be extended to include the subsequent operation of the force’s ICT, potentially also including the transfer of the ICT service. The approach would still provide support across all aspects of the change programme, and would provide an opportunity to manage and share the design and implementation risk, both for the overall change and ICT-specific aspects.

The nature of the IIP should allow the force to build upon positive attitudes to partnering while addressing some of the concerns that exist.

A key consideration in the selection of Option 4 is that the IIP model is not concerned with service delivery. This option enables the force to explore, on a case by case basis, the potential to establish partnerships with the public sector, third and private sectors where this will further enhance the achievement of outcomes beyond what the force may achieve otherwise.

If adopted, high level next steps for Options 3/4 include:

- notify bidders and the European Commission that the current procurement process (previously used for the BPP programme) has been cancelled;
- the procurement of consultants (business and legal) to support the force with the initial design of the IIP and then the procurement of the IIP; and
- working with the IIP to design, build and deliver the services defined as in-scope.

Given the scale of change this will entail, and in order to ensure consistency and robust risk management, we also recommend that the IIP and all other change activities are aligned by bringing together disparate change functions across the force under a single governance structure.

2 Context

Purpose of this document

Following the force's publication of an OJEU Contract Notice for services in January 2012 to begin procurement of a business partner via Competitive Dialogue, and the subsequent decision to cease the BPP programme in late 2012, the procurement process (previously used for the BPP programme) has been placed on hold while the force considers the most appropriate options available to it. Whilst changing public attitudes, more experience of how to get the best out of the private sector and the need to maintain flexibility in increasingly uncertain times have led to this review, the challenges facing the force have not changed. There is still a need to improve performance and service to the public, which will require a step change in how the force operates, whilst also achieving significant budgetary savings.

The purpose of this paper is therefore to outline a set of alternative options for the delivery of significant change within the force, evaluate these options using robust criteria to form a recommendation on the most suitable option for the force. The paper outlines how the long-term ambition, goals and objectives of the West Midlands Police, its citizens' and communities' needs, will be best achieved through the procurement of an IIP that would supplement the force's internal capability and capacity and assist in securing other inputs that may be required.

What is the challenge we are facing?

The force essentially faces two core challenges: how to improve service to the public whilst also meet significant budgetary reductions as a result of the Comprehensive Spending Review (CSR). To date the force has made significant progress in addressing these pressures, including:

- continuing to perform well - crime reduced by 10% in 2011-12, the public remain satisfied and confident in our services (though there is room for improvement) and developing as national leaders in IOM, Guns and Gangs harm reduction, Evidence Based Policing, Policing Football, Public Order, Anti-Social Behaviour and many other areas;
- public confidence in local policing has been maintained; and
- achieving £78m of the required £126m savings for the period 2010 to financial year ending 2012/13 and has a robust plan in place to save the remaining £48m via a range of actions and change activity over the last three years¹.

However, the challenge remains substantial. Budgetary pressures resulting from a reduced settlement are estimated at £100m over the next four years and service to the public could be significantly enhanced. Public expectations around a high quality, affordable police service also continue to increase, and the political and economic environment remains turbulent and unpredictable. Despite the force's excellent reputation and performance, maintaining the status quo will not enable the force to meet these demands. Incremental change (change delivered predominantly in an ad-hoc way by staff / officers whose primary skill set is not the design and delivery of change) will no longer meet the force's medium to long-term goals.

¹ This includes: applying the A19 regulation; introducing an enhanced voluntary redundancy scheme; centralising the force operating model via the Paragon programme; introducing a leaner local policing model through Continuous Improvement; reassessing services and reducing cost via Priority Based Budgeting; work in Contact, Custody and Business Services; collaboration with Staffordshire Police and introducing shared back office services

What does this mean?

The financial challenge is significant – average savings of around £20-25m per annum for the next four years, beginning 2013/14.

The drive to improve service delivery at the same time is more complex. The force ambition is for the people of the West Midlands to have “*Pride in their local police service*” and the supporting mission statement is “*To serve our communities and protect them from harm*”. This includes the desire to deliver world-class policing services to the citizens and communities of the West Midlands.

The Chief Constable and Deputy Chief Constable have articulated a set of key enablers to achieving this:

- **Customers and Citizens:** We will provide those who directly access service (customers) and those who indirectly engage with policing (citizens) with wider choice, bespoke service delivery and greater consistency and reliability. A stronger organisational memory will enable us to create an extended relationship with our customers and citizens;
- **Our People:** Our smaller workforce will be driven by the force’s values. There will be a continuing emphasis on empowerment, allied to the need for greater consistency of delivery and clearer accountability. Our people will have clearly defined roles and be supported by better technology. The role of strong, visible and inspirational leadership will be even more important with leaders doing more directing with less checking;
- **Information:** Transforming our access, collection, management and use of information to operate integrated systems that are capable of managing the volume of information available from a range of sources. This includes better data analysis to assess the threat of risk and harm, determine local priorities and automate processes. Information transformation will support better decision making at all levels, stronger relationships and improved outcomes; and
- **Resources:** Improved technology will provide visibility for the totality of our resource. This visibility allied to improved information, will generate significant opportunity for greater predictive and preventative policing and increased productivity.

How do we achieve this?

Achieving these enablers will require a bold, pioneering strategy that fundamentally reassesses how the force delivers service to the public. Turning the strategy into real changes that are effectively embedded into the organisation over the next few years will require a step change in how the force currently delivers improvements. This includes developing a professional, dedicated change capability that can innovate, drive improvements at pace and genuinely manage risks and interdependencies across a complex portfolio. The change portfolio will need to be underpinned by very different behaviours to support future ways of working, as well as a whole new approach to the use of technology and information.

Change will need to be centred on our core organisational values; clearly articulated and measurable outcomes and a set of design principles (see Appendix A for more detail).

Based on the progress the force has already made and its wide-reaching ambition, there are four core areas in which the force will need to undertake large-scale, and in some cases, radical, change activity:

- The Public - providing Services for all our Communities
- Our People - skills for policing
- New ways of working - using information to maximise the use of our resources
- Future Policing Delivery

The following table ² articulates the change activities within each of these areas, highlighting the range and complexity of the changes required, as well as the predicted benefits. Further detail on the drivers for each of these areas can be found at Appendix A.

Area	Change programme activities	Predicted benefits
The Public - providing Services for all our Communities	<ul style="list-style-type: none"> • Customer Intelligence: to have a better understanding of those who call us. • Self service: letting the public access information directly. • Mass customisation: how can we make services feel like they are designed to their needs on the scale we operate? • Customer service skills. • Complaints resolution. • Identifying wasteful activity that adds no value. • Mystery shopper work. 	<ul style="list-style-type: none"> • Increased customer satisfaction, especially in less satisfied groups. • An increase in service design skills to supplement the CI and PBB work. • Increased staff confidence in our services. • A reduction in cost through waste reduction and self service. • A reduction in complaints.
Our People - skills for policing	<ul style="list-style-type: none"> • We expect to see a more rigorous approach to learning identification and provision which builds upon the roles set out through the Continuous Improvement programme and other change programmes. • We will deliver a programme to improve leadership and technical skills our leaders are expected to hold. • We expect changes in police leadership training and direct entry from national change programmes. • We expect to pilot some coaching programmes. • We will draw from our partner Birmingham City Council, and use their skills in developing the BEST programme to create an effective staff engagement and reward programme. • We expect to make our values a stronger feature of our culture. • We expect to understand our culture more scientifically. 	<ul style="list-style-type: none"> • Increases in all performance outcomes through more effective people. • Increased productivity. • Increased staff confidence in their skills and their leaders. • A shift in culture to one valuing more strongly innovation and service. • Increased evidence of reward of services meeting our values. • Increased evidence of intervention on underperformance. • A reduction in the number and tiers of management roles. • A reduction in professional standards misconduct and corruption cases.

² Drawn from the Deputy Chief Constable's Change Strategy, 2012

New ways of working	<ul style="list-style-type: none"> • We will significantly improve our data quality so we can be more innovative in how we work with the data we hold. • We will implement a major estates strategy that will reduce the number of buildings and look at enhancing our staff working environment. • We will review the use of our fleet. • We will look to exploit resource management systems to improve our productivity. • We will link the estate work on a programme on mobility, agility and flexibility to ensure our information technology can make a difference to how we work. • We will explore options on public self service. • We will look at how information technology is changing the way we work with the public and how we can improve our services in this area. • We will look at projects that build upon the IOM work in Corvus. • We will examine partnering options. 	<ul style="list-style-type: none"> • A reduction in estate costs. • Increases in staff productivity. • Improvements in data quality. • Reduction in data input cost. • Increased visibility of police. • Increased staff confidence.
Future policing delivery	<ul style="list-style-type: none"> • Consolidate policing knowledge, strategies and tactics. • Target future Continuous Improvement to strengthen operations and improve efficiency. • Develop policing practice delivery with our partners to ensure our policing model and the ways of working and skills of the organisation operate effectively to achieve control on offenders and challenging places, reduce vulnerability and demand. • Cement improvement in experiments and a doctrine of evaluated practice that involves the whole organisation. 	<ul style="list-style-type: none"> • Sustained performance on all areas of the outcomes framework.

In addition, the force needs to explore how working with public sector, third and private sector partners will assist the force in meeting its ambition. New opportunities for public service partnership, for instance the Local Economic Partnership and City Deal, may have a significant part to play in helping the force to achieve required outcomes. Similarly innovative funding models such as Social Impact Bonds may present opportunities.

The Options appraisal considers the different ways in which the force could work with a private sector partner and the relative advantages and disadvantages of different approaches, recognising the context described above.

3 Current capability

Given the pressures facing the force and its ambition, there are three key factors that the force needs to consider with regard to achieving its goals:

- the business change capability to drive fundamental, organisation-wide change,
- the ICT capability to enable change, and
- the buy-in of police officers and staff to adopt new ways of working.

The headlines from this assessment are:

- **The force's change capability is not sufficient to meet the challenge.** Whilst the force has made considerable progress in developing its business change capability in the last three years (as evidenced by cost savings and performance improvements achieved through change programmes such as Continuous Improvement, Priority Based Budgeting and the Shared Services programme), there is neither the capability nor capacity of change resources needed to meet the scale of the force's ambition. This is reinforced by feedback from key internal stakeholders who are leading / delivering change, who have limited confidence in the force's ability to achieve fundamental, organisation-wide change without external support.

- **The capability of the ICT function is consumed by "day to day" IT operations,** including maintenance and support. There is limited existing capability to identify and deliver IT-

enabling business transformation. The force will need to buy in this skill, or supplement what exists already in order to successfully deliver the large scale ICT change needed to enable business transformation.

- **Current ICT is not enabling officers and staff to deliver their day to day business in the most effective way.** The overwhelming feedback from our staff consultation is that the existing ICT is seen as the primary blocker to staff carrying out their roles more effectively.

- **Officers and staff are fatigued by change.** The pace and scale of change that the force has had to carry out over the last three years has been a shock to an organisation that has had a highly devolved operating model, and one that has been very stable for a number of years. Engaging and re-building staff buy-in and enthusiasm through a professional, clear approach to change will be critical to achieving the required changes to the force.

As outlined in more detail below and at Appendices B and C, the force therefore does not have the capability or capacity to enable or deliver the fundamental, organisation-wide change required to meet its ambition and budgetary pressures.

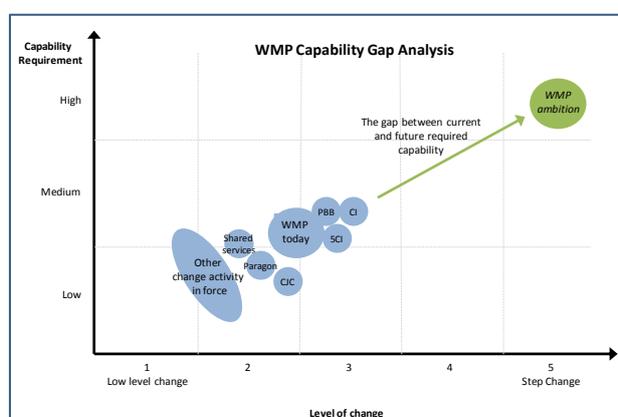


Figure 1 - Capacity and Capability

Business change capability assessment

The aim of the business change capability assessment is to provide an initial qualitative assessment of the force's current business change capability versus the scale of change capability required to meet future CSR demands and required service outcomes. The As-Is assessment is based on examining the volume and skills of resources across the force with business change delivery experience, document review and stakeholder interviews.

There is a pool of approximately 180 resources across the force with some experience of, or training in, delivering change. At initial glance, this appears to be a significant level of resource. However, further analysis shows:

- there is limited confidence amongst those involved in leading and delivering change in the force's ability to deliver the required business change. Although the bulk of stakeholders noted the significant improvements made in the force's business change capability, they also noted that the force's capacity and capability did not match the wide-reaching scale of change required;
- approximately 65% of these resources are police officers who spend 6-24 months in change roles before returning to policing roles, which often is not enough time to provide continuity and leadership for significant change activity;
- approximately 45% of resources with change experience have less than 12 months change experience and approximately 75% have less than 3 years change experience;
- 40-45% of these resources have experience of performance management, benefits management and change management;
- change resources are scattered in small pockets of the organisation, rather than in a concentrated hub that can drive forward large scale activity;
- some feedback suggests that there is an over-emphasis on formal qualifications and following a particular methodology or process rather than delivering the required outcome; and
- the most significant improvements to service delivery and cost savings (CI, PBB) have been delivered with initial external consultancy support, suggesting the force is more effective in delivering significant change when it is initiated and driven in conjunction with external partners.

"We have tremendous capacity to grow and develop and learn, but are starting from a very low baseline"

"We have some really good, talented, experienced people – if we could just harness this, we would be formidable"

"External support gives us the reassurance that our broad approach is right by industry standards and allows us to understand what good looks like in terms of performance and cost management"

The diagram below summarises the force’s capability in a set of typical competencies required to deliver significant business change. Green indicates the capability is fully available and mature, providing a high-level of service and effectiveness to the business. Amber means capability is available and provides a foundation on which to build, but is not sufficient to successfully deliver significant change. Red represents an immature or non-existent capability. (see Appendix B for more detail).

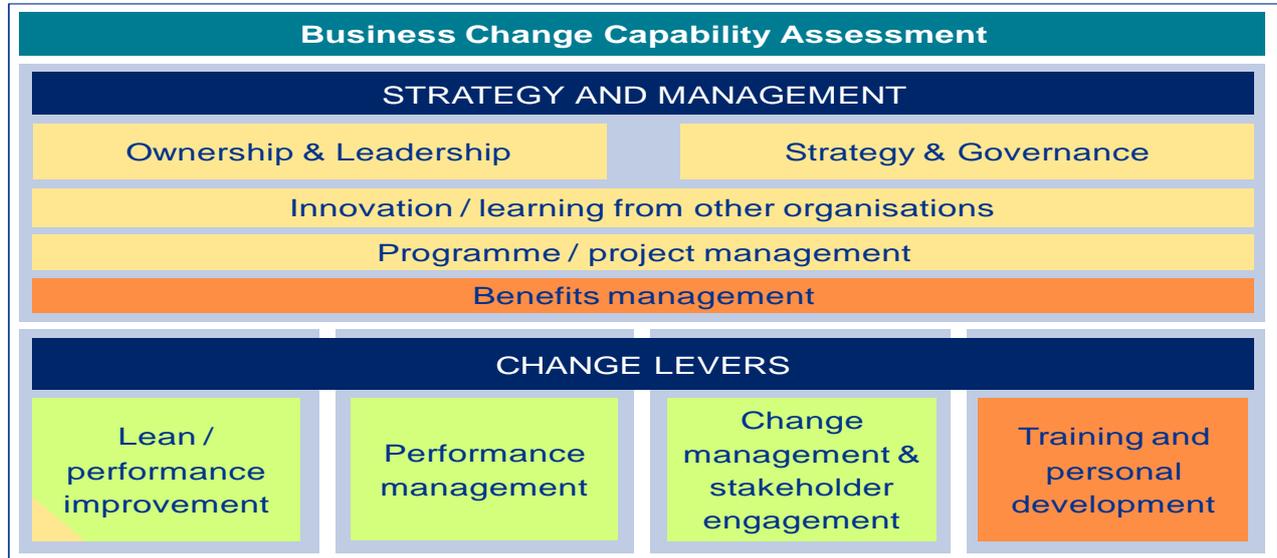


Figure 2 - Business change capability and capacity

To achieve the force’s ambition statement (as outlined above), the force will require fundamental, organisational change that goes well beyond the most complex business change it has carried out to date. Not only are the programmes / projects of change required complex and significant in themselves, but they are also strongly interrelated. Effectively managing the dependencies between programmes / projects will be critical to success.

ICT capability assessment

The aim of the ICT capability assessment is to provide an initial qualitative assessment of the ICT capability (function/service, infrastructure and systems) to bring about the extent and pace of change required.

The following diagram provides a high level assessment of the maturity of the services within the ICT function. Green indicates the capability is fully available and mature, providing a high-level of service and effectiveness to the business. Amber means capability is available and provides an adequate level of service, although there is opportunity for improvement. Red represents an immature or non-existent capability.

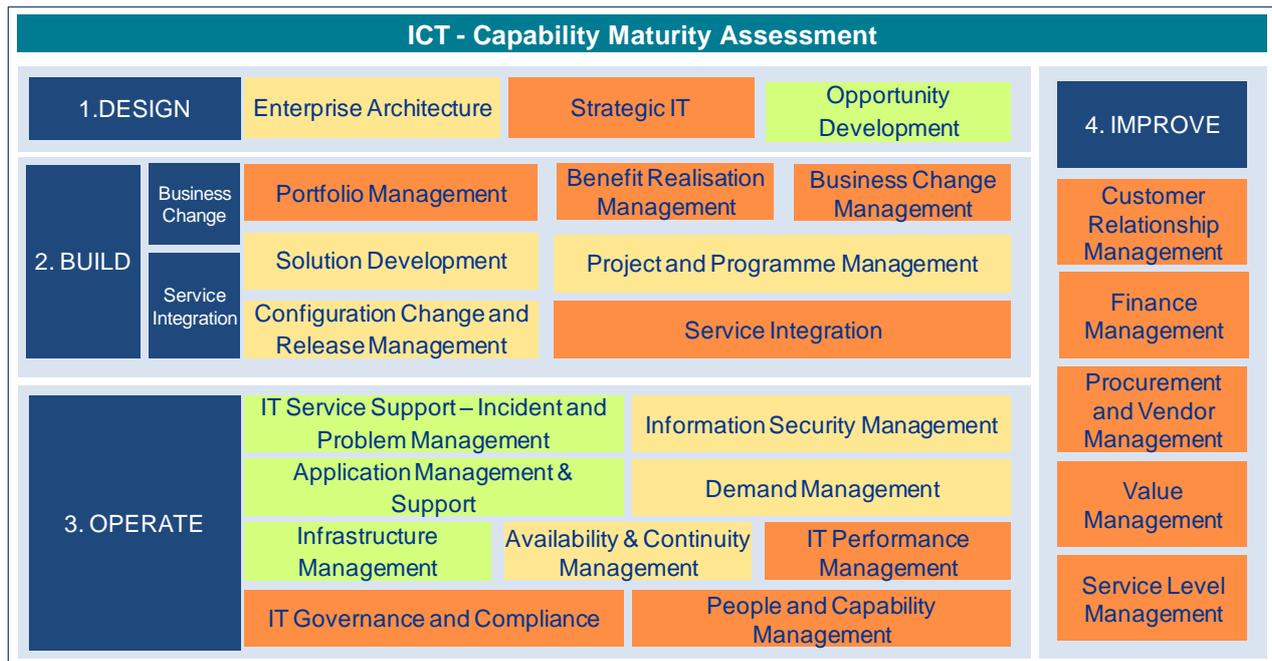


Figure 3 - ICT capability and capacity

The table is organised along four key ICT capabilities expected in a mature ICT function. These include:

- “Design” - this is capability to be strategic, to recognise and develop IT-enabling business opportunities, and do this within an overall architecture. This capability is missing or immature at the force.
- “Build” - this is the capability needed to successfully deliver IT-enabling technologies into the business. ICT business change capability is immature, although there is some capability to develop solutions, along with project & programme management.
- “Operate” - this is the capability to effectively run the ICT service. The existing ICT function is primarily organised around “keeping the lights on” and this is mainly effective.
- “Improve” - this is the ICT commercial capability needed to improve and transform operations. This is currently immature or non-existent within the force.

What we can draw from this is that the essential ICT capabilities needed to support transformation - either transformation of ICT, or IT-enabled business transformation, are currently missing or immature. The force’s ICT function is not organised in a commercial supply and demand structure, nor is it currently geared up for change. The force will need to look into whether it buys-in these skills, supplements what exists already, or trains-up these skills internally.

In Appendix C there is a fuller description of the maturity of the existing ICT function. We have also set out a high level view on the maturity of the Information Management function, and looked at what the commercial market is currently capable of offering around eight of the force's key front line business and infrastructure applications.

Feedback from staff / officer consultation

Consultation has been carried out via a staff survey and focus groups³. Whilst further consultation will be necessary, initial feedback includes:

When asked what hinders their ability to carry out their role, staff / officers cited:

- ICT, including a lack of joined up IT, IT / software that regularly crashes / is not fit for purpose and does not enable basic functions when outside the office / station
- A disconnect between leadership and staff and not feeling that there is sufficient consultation, combined with uncertainty about the future
- A lack of training and personal development to enable decision-making and high quality service

When consulted, staff stated that:

- Nearly 50% felt the equipment they use to carry out their role is not suitable
- Nearly 70% use one or more items of personal equipment to support their role (e.g. satellite navigation, mobile phone, laptop, camera etc.)
- Staff and officers feel there is a lack of resource to deal with public demand, particularly on the frontline. Whilst more effective resource is one way to achieve this, we assess that there may also be a need to better articulate to staff / officers the scale of the budgetary pressure facing the force and manage expectations around the probability of any significant resource increases. Part of any transformation that takes place will need to include clearly articulating and communicating the need for change and impact on staff at a more granular, meaningful level.
- Over 50% agreed that areas of the force would benefit from working with other organisations in the public or private sector. Those who agreed with joint working are supportive of working with the private sector to transform ICT and agree that the force does not have experience to change the ICT internally.

In addition to engagement with the workforce, the Task Force has ensured there has been consultation with representative groups for both Police Officers and Police Staff. Since the inception of the Task Force there have been regular meetings with full time officers for Unison and Unite, as well as the Police Federation and the Superintendents Association.

³ 1200 responses were received to the staff survey, which ran from 20/12/12 to 08/01/13 and four focus groups were carried out (two for staff and two from officers) with staff / officers from Force Contact, Custody, OSD, Birmingham West & Central LPU (including Contact, Custody, Partnerships, Licensing & Business Support)

Information has been shared with these groups regarding the Task Force's remit including an early draft of the Terms of Reference as well as a copy of the final document; details on the various work streams including the capability and capacity assessment were discussed and it has been ensured that they were aware of the timescales for this piece of work. They have been briefed on the planned focus groups and the development of the staff survey and given an early indication of the headlines from this workforce engagement. Topics discussed include the Ambition Statement, and also the approach to defining Core, Support, and Support to Core and some of the complexities associated with this, as well as its importance to identifying the most appropriate procurement vehicle. There has also been discussion about the range of options that the Task Force have been asked to consider and the evaluation criteria that has been applied to each one.

The engagement with the Staff Associations has been positive, and there is a clear understanding of the work of the Task Force. There is a commitment to continue to provide the Staff Associations with timely information as the paper is made public, as well as to work with them on any internal communications that may be required.

The findings above in this section have been used to inform the development and appraisal of options in the next section.

4 Delivering West Midlands Police's Ambitions - Options

The challenge

The force has set out a clear intention to significantly enhance the delivery of its stated outcomes by making substantial changes to the way the force works, underpinned by new ideas, innovation and drawing on best practice from across a wide range of sources. The changes encompass every aspect of the force, from the way resources are managed and allocated, the way it interacts with the community it serves, the way police officers and police staff are engaged and the way information is used to support new ways of working. The creation of an effective, fit for purpose ICT infrastructure underpins all of this.

As highlighted earlier in this paper, the force has achieved much over the last three to four years and has established growing capability to deliver changes of this type. However, there is clear recognition that the skills and expertise required are not available with sufficient breadth, depth and quantity to ensure successful achievement of the force's ambition within the required timescale. Therefore, the force should explore options to establish a means of securing external support, to supplement, build and develop internal capability and capacity whilst also effectively addressing a number of immediate priorities and challenges, not least around ICT provision.

With reference to a broad range of potential delivery and partnership models, the remainder of this section of the paper articulates a set of options that have the potential to: provide access to skills and expertise; assist the force in managing the risk of change; and balance access to new ideas and insight whilst maintaining the force's influence and control.

The range of options available

A broad range of delivery models are available to the force and one of the main differentiators between these models concerns the extent to which a partner organisation shares influence and control as a means to also share risk while accessing skills, expertise and other resources externally. In developing specific options for the force, consideration has been given to a range of potential approaches – these are described in Appendix E.

In addition to considerations of risk and ownership, the scope of support required is important in defining potential options. The force's ambition, set alongside an objective assessment of the challenges faced and the capability and capacity in house, leads to a number of considerations regarding the scope of support:

- the need to deliver changes to the structures, processes and culture of the force i.e. the way the force delivers its services to its customers;
- the need to deliver a significant programme of ICT design and implementation work; and
- the need to ensure value is extracted from new ICT.

Bringing these components together combined with recognition that the PCC has already determined that the BPP programme as originally envisaged is no longer appropriate, has resulted in the identification of five specific options to be evaluated.

The specific options are:

1) Internally-led change

This option in effect presents a 'base case' that can be considered on its own merits and also provides a comparator for all other options. The approach would involve the internal delivery of all services and all activities associated with the change. The specific features of the approach are:

- additional capacity would only be created through the recruitment of additional resources (on a permanent or temporary basis) to deliver the programme and consultants could be used on a case by case basis to address specific skills gaps or project needs;
- the design of the change procurement, including new ICT provision, and any subsequent procurement and implementation would be undertaken on a project by project basis (managed as part of a single programme) by the force's in-house team; and
- the full risk and responsibility for the portfolio, programme and project management of the change would be retained in-house.

This is in effect the force's current delivery model, albeit recognising that existing arrangements would be enhanced to address the scale and complexity of the change.

2) Internally-led change and externalisation of ICT

In this option, the approach to the overall design and implementation of the change is the same as Option 1 (In-House) but, recognising the importance of ICT to the change, the responsibility for the design, implementation and subsequent operation of the force's ICT is transferred to a third party service provider. Features are therefore:

- given the nature of the ICT function and services and market norms, this option is very likely to include the transfer of staff under TUPE to the service provider, though it is possible that a secondment model could be constructed. Similarly, it is likely this approach would be achieved using an outsource arrangement as the nature and scope of the ICT service / function would not easily lend itself to other forms of externalisation model;
- an important aspect of this option is that the overall responsibility (and risk) associated with determining the overall strategy for change and designing the revised business model would remain with the force, since the service provider would be responsible for just providing the ICT against a requirement largely defined by the force; and
- the responsibility for delivering improved outcomes rests (almost) completely with the force.

3) Change jointly-led with an Innovation and Integration Partner ("IIP")

This approach would involve an internal change team working in close partnership with resources provided by a third party (private sector) partner, embedded in the force, to jointly develop the strategy for change, design a new operating model (including ICT) for the force, design the change programme and then jointly manage the change programme. The features of this approach are:

- the specific role of the partner would be to contribute the additional capability and capacity required by the force, across both ICT and broader change, to ensure the successful design and implementation of the change programme;
- the partner would also play a critical role in bringing strategic insight, challenge and ideas (innovation) to ensure that the force's thinking reflected the best experience available across policing, public service delivery and private sector operations, on a global basis. This would make a significant contribution to the design of an optimal, highly efficient and effective operating model for the force;

- the partner would work with the force to support all aspects of the change programme (for example, process redesign, change management, ICT architecture, business intelligence, data analytics) over an extended period of time (likely to be at least 2 years) with the level of support reducing over time as implementation is completed and enhanced capability and capacity created in the force;
- the IIP would also support the force in the specification and procurement of any additional services required to successfully implement the jointly developed design;
- a further variant or extension of this model could see the IIP acting as an agent for the force, assisting the force with the selection, contracting and management of third party service providers but the direct contractual relationship would be between the force and these service providers;
- there would be no transfer of responsibility for service delivery and no staff transfer to the IIP under this approach, this remaining the responsibility of the force. The partner would in fact be likely to be excluded from bidding for the provision of any services that the force may decide to externalise in the future (so long as they were still acting as IIP);
- subject to the specific details of the partnering arrangement, there is potential for the mitigation and transfer of implementation risk and for elements of support to be secured through an output specification / risk-reward model.

Ultimate responsibility for delivering the improved outcomes resulting from the change programme would typically still rest with the force.

4) Change jointly-led with an Innovation and Integration Partner combined with the implementation and externalisation of ICT

This approach is an amalgam of Option 2 (In-House +) and Option 3 (ICT only) and seeks to combine the features and advantages of both:

- this approach would involve an internal change team working in close partnership with resources provided by a third party (private sector) IIP, embedded in the force, to jointly develop the strategy for change, design a new operating model (including ICT) for the force, design the change programme and then jointly manage the change programme. The partner would bring strategic insight, challenge and ideas (innovation) to ensure that the force's thinking reflected the best experience available across policing, public service delivery and private sector operations, on a global basis;
- the partner would also, either directly or via a specialist service provider under sub-contract, be accountable for the implementation of the new ICT required by the force. Thereafter, the role could be extended to include the subsequent operation of the force's ICT, potentially also including the transfer of the ICT service. There would be no transfer of responsibility for service delivery and no staff transfer beyond ICT;
- the approach would still provide support across all aspects of the change programme and would provide an opportunity to manage and share the design and implementation risk, both for the overall change and ICT-specific aspects;
- as with the IIP-only model above, a further variant or extension of this approach could see the IIP acting as an agent for the force, assisting the force with the selection, contracting and management of third party service providers but the direct contractual relationship would be between the force and these service providers;
- this model would provide increased potential for significant transfer of implementation / integration risk in relation to the effectiveness of the new operating model and particularly the ICT component of this; and

- where the IIP would also directly deliver services, there would be increased need to ensure their objectivity in the design and implementation stages to ensure that solutions reflected the optimum result for the force (in terms of impact on outcomes) rather than the easiest / most profitable result for the service provider. Under this model, this risk could therefore be mitigated where most service delivery was contracted to other third parties and the force had significant influence over the contracting process.

5) Externalisation of ICT and other support services to a partner, who would also provide broader support

This option has similarities with Option 4 above since it involves the creation of a partnership to provide a broad range of support around change and ICT but importantly it envisages the transfer of services beyond ICT, to a third party service provider. As such, there is a stronger bias toward service delivery, rather than implementation and change and the operating model designed would have this in mind. The service provider would be the primary partner for other third parties brought in under sub-contract. Other features include:

- any additional services included would be likely to result in the transfer of staff under TUPE, though secondment could potentially apply;
- an internal change team would still work in close partnership with the third party (private sector) partner to develop the strategy for change, design the programme and the specific changes (ICT and otherwise) required, though the partner may typically take a more prominent role given the expectation that a greater proportion of the redesigned services would potentially be transferred to the partner to run under contract for a period of time. There would therefore be support across all aspects of transformation where additional capability and capacity required, for both service and ICT transformation;
- the approach would allow the design and implementation risk to be managed and shared and operational responsibility for the delivery of ICT and any other in-scope services would be transferred to the relevant service provider; and
- where the primary partner would also directly deliver services, there would be increased need to ensure their objectivity in the design and implementation stages to ensure that solutions reflected the optimum result for the force (in terms of impact on outcomes) rather than the easiest / most profitable result for the service provider.

The options are summarised in the diagram below:

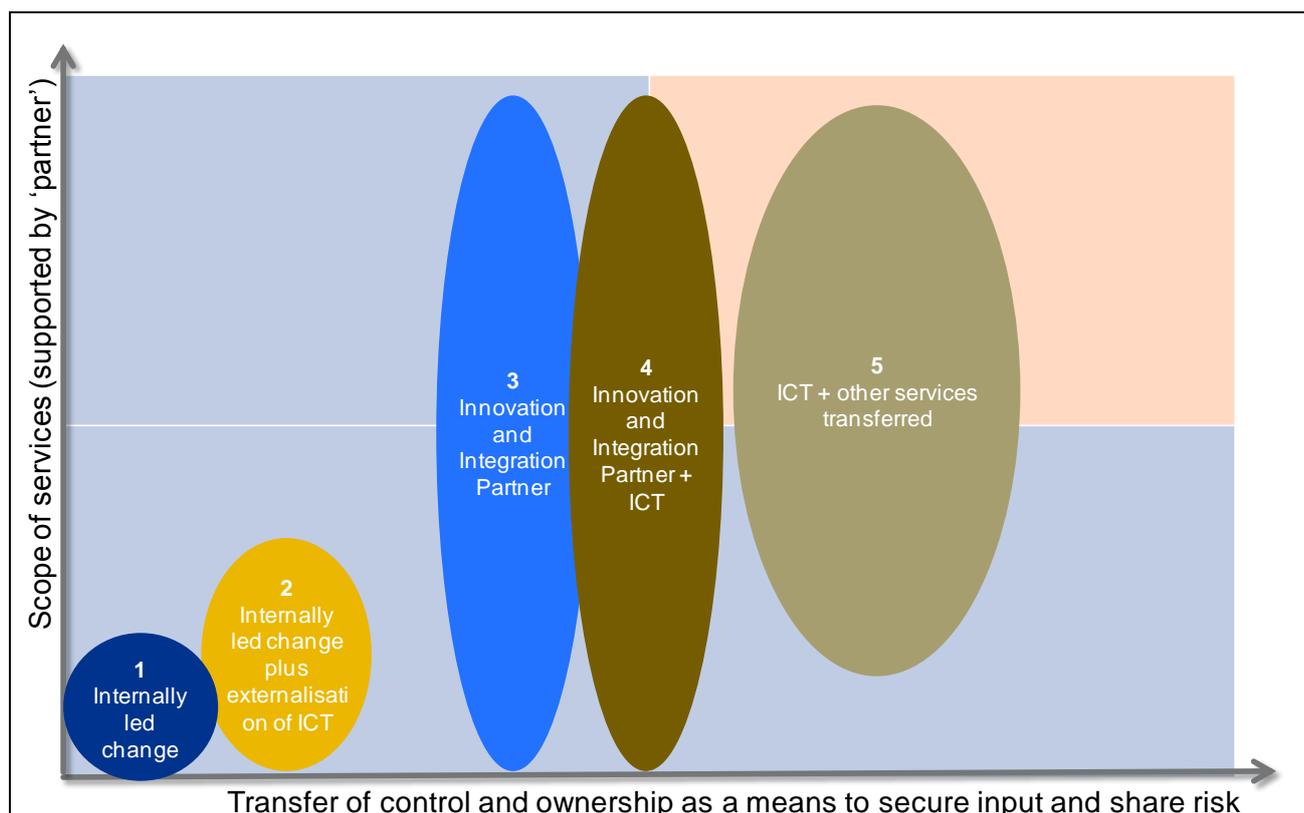


Figure 4 - Summary of option

For each of the options there will be an opportunity to flex the specific scope and commercial structures as part of the detailed design, procurement (where appropriate) and implementation work that will be a necessary part of taking them forward.

Appraisal of the options

In order to test the options and determine which are likely to be most effective and consistent with the force's circumstances and priorities, a set of evaluation criteria have been developed.

The criteria reflect: the specific outcomes being sought and relative priorities of the force, as defined in the ambition statement (such as the ability to deliver ICT enabled change); commercial and business factors that differentiate different service delivery models and are important to all organisations (such as financial return and risk); and cultural matters (such as the potential levels of support from employees).

The criteria are considered to be of equal importance and therefore no weightings have been applied. Each option has then been considered in terms of the extent to which each option meets each criterion

The criteria and a summary of the appraisal of options are set out below.

Evaluation Criteria

Criterion	What does this criterion consider?
Ability to deliver innovation and the capability and capacity to successfully deliver significant change and a step-change in the achievement of outcomes.	Whether the option is likely to: <ul style="list-style-type: none"> • provide the required skills and expertise in the right quantity (including process and organisational redesign, change management, partnering and commercial management, contract management, performance management); and • develop capability, capacity and an approach to change that we will be embedded in the organisation for the long term.
Ability to deliver significantly enhanced ICT and a 'world class' ICT service.	Whether the option is likely to: <ul style="list-style-type: none"> • provide the required skills and expertise in the right quantity (including ICT strategy, architecture, operational management);and • develop capability, capacity and an approach to change that we will be embedded in the organisation for the long term.
Potential to minimise the time to implement change and deliver benefits.	<ul style="list-style-type: none"> • Whether the option is likely to minimise the time to the commencement of benefits
Potential to minimise the risk to the force of making the change.	Whether the option is likely to: <ul style="list-style-type: none"> • manage the risks associated with implementation of change i.e. is the option inherently more or less risky than the other alternatives. • allow risks to be shared or transferred and the potential impact of risks on the force reduced • is likely to receive a positive response / interest from potential partners, thus ensuring input from suitability qualified partners
Potential to provide a positive impact on the local community and economy.	<ul style="list-style-type: none"> • Whether the option is likely to offer the potential to provide mechanisms to positively impact employment and prosperity in West Midlands (such as encouraging the use of SMEs, stimulating growth in local service provision, providing new employment opportunities for the force police officers and staff)
Potential to ensure a positive organisational impact.	Whether the option is likely to: <ul style="list-style-type: none"> • benefit from the support of the force employees • minimise the disruption to the force resulting from large scale changes to organisational arrangements
Potential to secure public support.	<ul style="list-style-type: none"> • Whether the option is likely to benefit from the support of the public and enhance their confidence in the force
Potential to achieve the financial efficiencies required.	<ul style="list-style-type: none"> • Whether the option is likely to maximise the potential for net efficiency savings and the achievement of current and future savings targets
Potential to ensure the optimum use of the force's financial resources.	Whether the option is likely to: <ul style="list-style-type: none"> • deliver financial benefits sooner rather than later • create a positive business case in support of a requirement for to fund the change programme, including ICT (whether

	capital or revenue)
Ability to deliver additional future value	<p>Whether the option is likely to:</p> <ul style="list-style-type: none"> • enhance the potential to leverage and generate a return on the force's asset base • provide a platform to encourage shared service provision with other organisations to realise additional economies of scale • create a platform that could facilitate the generation of additional income streams for the force in the future

Evaluation of the options

Each option has been appraised against the criteria described above with input from a range of stakeholders from the force and the force's professional advisers. "High" means that there is a high possibility that the option would have a positive impact against the consideration described by the criterion. "Medium" suggests a moderate impact and "Low", a low or minimal impact. The table below summarises the outcome of the appraisal:

Evaluation Criteria	Option	1: Internally Lead Change	2: ICT externalisation	3: Innovation and Integration Partnership	4: Innovation and Integration Partnership + ICT	5: ICT, other support services and support
Ability to deliver innovation and the capability and capacity to successfully deliver significant change and a step-change in the achievement of outcomes.		L	L	H	H	H
Ability to deliver significantly enhanced ICT and a 'world class' ICT service.		L	M	M	H	H
Potential to minimise the time to implement change and deliver benefits.		L	L	H	H	M
Potential to minimise the risk to the force of making the change.		L	M	M	H	M

Potential to provide a positive impact on the local community and economy.	L	L	H	H	M
Potential to ensure a positive organisational impact.	H	M	H	M	L
Potential to secure public support.	H	M	M	M	L
Potential to achieve the financial efficiencies required.	M	M	H	H	H
Potential to ensure the optimum use of the force's financial resources.	M	M	H	H	M
Ability to deliver additional future value.	L	L	M	M	M
Score*	1.60	1.60	2.60	2.70	2.10
Percentage of maximum score*	30%	30%	80%	85%	55%
Relative position in the appraisal	4	4	2	1	3
*Scoring has been calculated by assigning 3 points to 'High', 2 points to 'Medium' and 1 point to 'Low'. The percentage of maximum score shows the actual score for each option as a proportion of the maximum achievable score (i.e. if each criterion was assessed as High).					

Supporting commentary

1) Internally led change

- This option has generally scored poorly since, as highlighted in the capability assessments, there is low confidence in the force's ability to deliver a sustained programme of change without external input, in terms of ideas, innovation and skills and 'boots on the ground'. This in turn led to concerns about the time it would take to deliver change and realise benefits, as well as the risk of attempting to undertake the change in-house when there are significant skill and capacity gaps. In addition, an in-house approach provides no opportunity to share or transfer any of the risk involved.
- Although this option would maintain a strong focus on resource being locally based, it was difficult to see how it could facilitate a wider contribution to the local community as it is, in many ways, maintaining 'status quo'.
- The approach scored well in terms of organisational impact as it would minimise disruption and allay concerns around externalisation and for these reasons, it is felt that it would also be supported by the public – this would of course be undermined if the force was unable to maintain and improve outcomes in parallel with finding efficiency savings.

- The concerns of capability and capacity bring into doubt the potential for this approach to deliver the savings required – although the force has achieved much, further savings are on top of this and are likely to require new ideas and approaches. Clearly any investment would need to come from the force and the questions over delivery of benefits would dilute the strength of the business case for this investment.
- The approach would not obviously provide a platform for future sharing or growth of services.

2) ICT externalisation

- This approach also scored poorly being very similar to internally led change with the exception of the implementation and operation of ICT.
- Consequently, potential to address ICT capability and capacity is improved but since the option does not provide a wider contribution to the identification of business opportunities for ICT or ensuring business change to exploit ICT, this advantage is mitigated.
- By securing input to ICT implementation and operational risk is mitigated and shared but this is again mitigated by the lack of wider support to ensure successful change.
- The model would involve some staff transfer which may create more force disruption and uncertainty for some employees, which in turn could lead to concerns for the public served by the force (although it is recognised that both of these issues may be relatively modest).

3) Innovation and Integration Partnership (“IIP”)

- This option has scored well in the appraisal, not least since it provides a clear mechanism to secure a substantial contribution to the capability and capacity requirement for change and to some extent ICT. The latter has been more modestly scored as the option separates the role of the IIP from ICT implementation and subsequent operation, leaving a small element of uncertainty.
- The process to procure an IIP should be relatively rapid (perhaps 3 to 6 months) and would lead to an immediate deployment of capability and capacity thereafter, which should facilitate early achievement of benefits. This also helps manage the risk to the force and there should be opportunities to transfer some of the risks, at least relating to the design of new systems, structures and processes, to the partner.
- By ensuring that the force provides an effective and efficient hub for the achievement of outcomes (having effective ICT and supporting processes and ways of working), there is increased potential for local partners – for instance other public sector bodies and third sector organisations – to play an active partnership role. This in turn allows potential for a strategy with a clear focus on delivery within and by the local economy and community.
- This model may provide an improved platform to secure greater collaboration across public and third sector partners, allowing shared service opportunities, although the force would still need to actively drive this agenda. Importantly, since all service delivery would rest with the force, decisions on how to stimulate and create partnerships would be within the complete control of the force / Office of the Police Commissioner of the West Midlands.
- The model envisages an effective partnership with the IIP, who would embed in the force. This should ensure a positive organisational impact with the opportunity for the workforce to develop skills and expertise alongside the partner.
- While the model should make a significant contribution to the force’s achievement of priority outcomes, members of the public may still have some concerns over the influence of a private sector partner.

- The expertise and capacity brought by the IIP should significantly enhance the potential to achieve the necessary efficiency savings and in so doing, bolster the business case for the investment of the force's funds in a significant change and ICT programme.

4) Innovation and Integration Partnership (“IIP”) + ICT

- This option builds upon the IIP approach by including the implementation of ICT and potentially, the subsequent operation of the ICT service. Therefore, it scores similarly to the IIP in most areas. This option achieves the highest score in the appraisal, albeit only slightly ahead of the IIP without ICT
- In terms of the provision of ICT capability and capacity, this option performs more strongly since that is within scope of the role of the IIP and would be part of their contract.
- Considering risk, by bundling ICT implementation and operation with the up-front business and technical design, there may be increased potential to transfer the risks associated with implementation to the partner.
- By bringing ICT service transfer / delivery into scope, there is potential for increased disruption and concern amongst employees and potentially the public.

5) Externalisation of ICT and other services

- This model extends the remit of the ICT only option and in so doing, provides greater potential to secure a broader package of support and input. However, the increased focus toward the transfer and delivery of services results in a move away from the ‘embedded, objective partner’ ethos of the IIP models. As such, this option sits somewhere between the IIP and internal / ICT only options.
- This option should provide access to capability and capacity across the board, but the larger scope and delivery focus would tend to imply a longer procurement and transition, resulting in a delay to the delivery of benefits.
- This option helps to manage the risk of change and a model of this type would allow risk transfer around ICT and other services, but this is reduced since the procurement and contracting process will typically be more complex and there may be questions over the objectivity of the partner (since they will have an interest in shaping solutions that are easier to deliver).
- The need to compromise between the interests of the force, local community and the commercial interests of the partner may mean that a local positive contribution moves down the list of priorities. However, depending on the particular organisation (for instance, if they already had a local base), there may be an opportunity to enhance the prospects for local employment through business growth.
- The inclusion of a greater degree of service transfer implies greater disruption to the force during the transition and there is likely to be increased concern among employees and their representatives.
- Regardless of the specific scope and content, this option is likely to face greater public scrutiny amid concerns over the role of private sector providers in policing. However, since core activities would be out of scope, the public may be reassured.
- This approach should still provide positive input to the achievement of necessary efficiency savings and in fact, is likely to provide potential for additional / external investment, reducing the need for the force to invest its own resources. However, the likely need to compromise around priorities and solutions, allowing for the partners interests, may mitigate this.

- A partnership of this type can often act as a catalyst and platform to develop new services and share existing services and infrastructure. However, it is less flexible in terms of the commercial models to allow this and may be hindered by the attitude of potential public and third sector partners toward the force's chosen partner.

Conclusion from the appraisal

With reference to the appraisal described above, the preferred option is the IIP with ICT model. However, recognising that the inclusion or exclusion of ICT may have limited impact and comes with its own pros and cons and is a variant on the IIP approach. It would be appropriate to explore both options in more detail. Should this option be agreed as preferred, further work will be required to refine the option and prepare the subsequent procurement.

The nature of the IIP should allow the force to build upon positive attitudes to partnering among the workforce while addressing some of the concerns that exist.

Defining scope

One significant implication with regard to the selection of the IIP concerns scope of services. The focus of the IIP is to work with the force providing advice, expertise, challenge and sufficient appropriately skilled resources to both deliver the future design that is jointly developed and ensure that the force's employees are equipped for the future.

However, since the IIP model is not (with the possible exception of ICT) concerned with service delivery, the model does not require the force to make further assessments with regard to the most appropriate models of service delivery that may apply in the future. Furthermore, one of the specific advantages of this approach is the potential to allow the force to explore, on a case by case basis, the potential to establish partnerships with the public sector, third and private sectors, where this will further enhance the delivery of outcomes beyond what the force might otherwise achieve.

The exploration and evaluation of further partnering options could be undertaken with support from the IIP and would apply the scoping principles that have begun development as part of this work. In particular, core police services, which encompass staff and officers exercising police powers and the staff engaged to support those fulfilling those functions, will remain under the direction and control of the Chief Constable.

Further details of this initial work are attached at Appendix D.

5 Implementation and governance

Implementation

The purpose of this section is to outline the main activities that need to be completed in order to establish the basis of an IIP model and to describe the governance required to implement the model to the point where it starts to identify the scope and blueprint for future change.

However, until the IIP model is established and the scope and requirements for future change have been fully defined, it is difficult to accurately forecast the length of time and cost for subsequent phases albeit for the purpose of this paper, those high-level stages are included together with indicative values in terms of time and resources required.

On the basis that the recommendations in this paper are accepted, then the following assumptions have been made:

- notify bidders and the European Commission that the current procurement process (previously used for the BPP programme) has been cancelled;
- the contract with Pinsent Masons (Legal Consultants to BPP) will be terminated;
- the force will procure Business Consultants to support the creation of the IIP; and
- the force will procure Legal Consultants to support the creation of the IIP and the new procurement.

Indicative schedule

The schedule is split into 2 sections: stage 1 represents the high-level activities required to create the IIP and stage 2 is a forecast of the phases beyond set-up when the force and the IIP work together to implement the changes defined as in-scope. The indicative dates assume that a decision to proceed in accordance with the recommendations of this paper is made in early February 2013.

Stage	Activity/Outcome	Potential completion milestone
Initiation	ITT for the procurement of new consultants	Feb 2013
	Programme Terms of Reference	Feb 2013
Mobilisation	Appointment of Legal and Business Consultants	April 2013
	Establish the governance structure and team	April 2013
Design	Development of the IIP model, scope and requirements Development of a blueprint and plan for services NOT in-scope: i.e. services and change that will be delivered either in-force by the force or directly between the force and suppliers negating the use of the IIP Establish team to procure IIP	August 2013

Procurement	Procurement of the IIP covering: <ul style="list-style-type: none"> • Pre-procurement: market engagement • Publication of the OJEU Contract Notice • Pre-qualification questionnaire (PQQ) and short-listing of potential bidders • Competitive Dialogue phases • Contract Award 	February 2014 ⁴
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Following the appointment of the IIP, the following key phases would apply:

Build	Design of Target Operating Model/Blueprint Design of Service Models Creation of a Projects Portfolio ⁵ and implementation schedule Establish the joint force and IIP implementation teams	June 2014
Implementation	Development/build/test of the services/change defined by the projects portfolio Implementation of new services On-going contract management of the IIP	July 2014 onwards

Summary

- Stage 1 would be the procurement of consultants to support the force with the initial design of the IIP and then the procurement of the IIP;
- Stage 2 would be working with the IIP to design, build and deliver the services defined as in-scope;
- Stage 2 implementation under the IIP model would complement other forms of change: in-force or solutions directly contracted between the force and suppliers;
- Stage 2 implementation would be sequenced based on criteria that will be established during the build phase e.g. the force may decide/need to address specific areas based on business need/criticality or implement aspects of change in a strict order to deliver an overall set of benefits such as in areas like ICT.

In parallel with these activities, the force should identify any priority issues that can be addressed internally while procuring the support of the IIP.

⁴ The completion of this activity will be dependent on the scope and requirements for the IIP and in some cases could be accelerated to be completed earlier than this.

⁵ A list and prioritisation of the candidate projects that would be implemented under the governance of a newly formed IIP.

Governance

This section describes the indicative governance structures that will be required to support each of the key stages and their sub-phases from initiation through to implementation.

Elements such as the Steering Group and Programme Team will remain constant albeit the structure and profiles of the build, design and delivery teams will alter depending on scope and the overall implementation schedule.

The Steering Group will consist of senior management from the Office of Police and Crime Commissioner, Command Team and leads representing the main programme and legal and business consultancies.

Terms of reference for these and all other teams will be developed as the structures are created.

As an overall recommendation, the paper proposes that alignment is achieved between the IIP model and ALL other change activities by bringing together disparate change functions under a single governance structure so whether change is IIP led, developed and implemented by the force on its own or the force working directly with suppliers; there is harmonisation and consistency across the force.

Stage 1: initiation and mobilisation



- The team would procure the new consultants and also conduct an initial high-level scoping exercise to define what would be in and out of scope for a future IIP;
- In parallel, the team would work predominantly with the existing change and ICT functions to understand the impact of their existing and planned change portfolio and work together to identify what should continue, what should stop pending the creation of the IIP or what can be terminated;
- The outcome is a first-cut projects' portfolio showing the overall sequence of work regardless of whether it's through the IIP or some other mechanism.

Stage 2: design and procurement



- The IIP design phase can't start until the consultants have been appointed and the procurement can't start until the design team has developed an IIP blueprint that has been approved by the steering group;
- The procurement phase of this stage would require a similar team used for BPP.

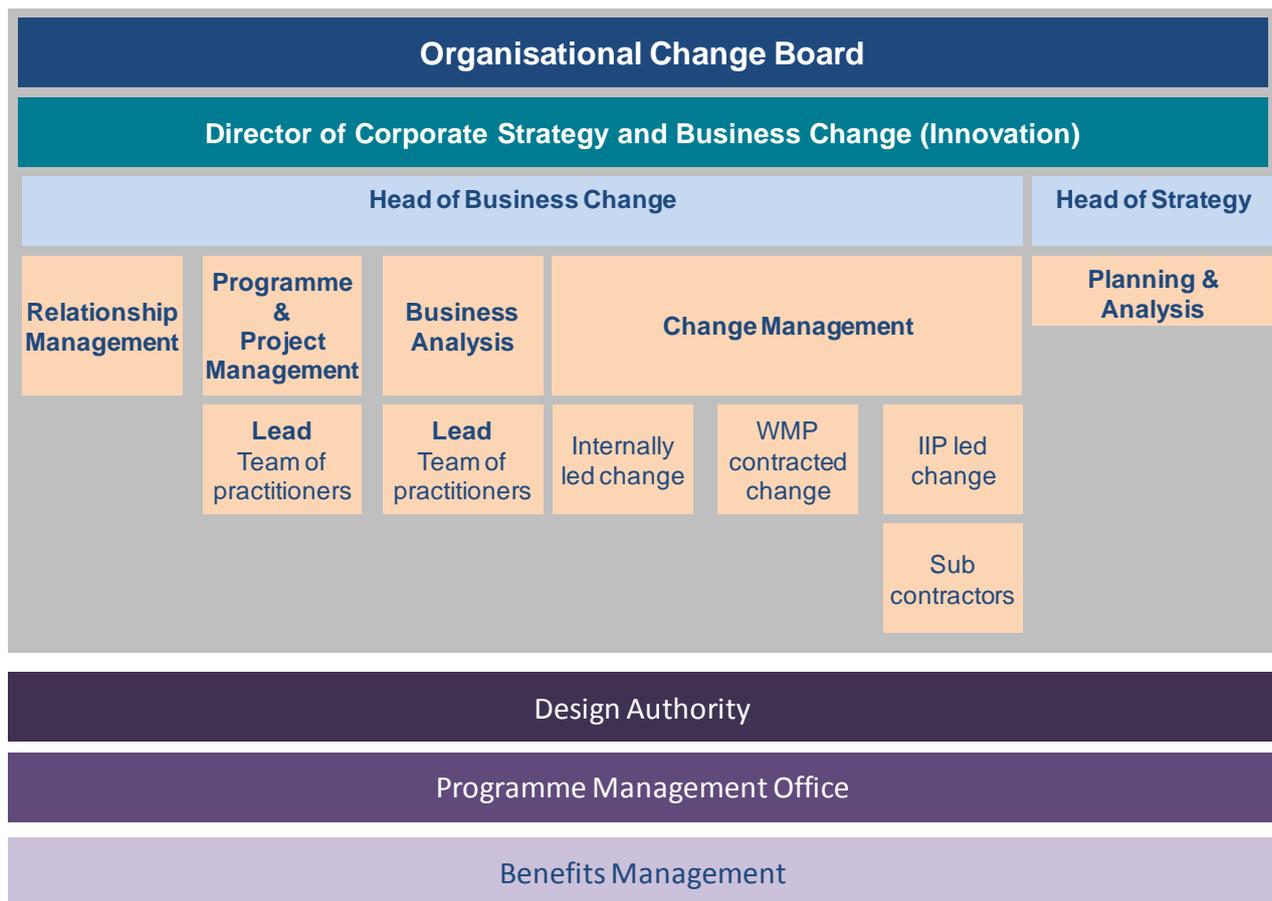
Stage 3: Implementation

This paper has identified a number of areas where capability and capacity including ICT, need to be addressed to support and complement the procurement and operation of an IIP, and to establish a sound and proper basis for the co-ordination and implementation of all business change whether it's working with partners or internally led.

The force has a good track record of successful implementation such as Paragon, Business Support, CI and PBB which have been achieved despite the absence of a single over-arching function with responsibility for all aspects of change from planning through to implementation and benefits realisation.

However, in light and support of this paper's findings, conclusions and overall recommendation, it is proposed that the force considers the creation of a single change function which would bring together existing and in some cases disparate functions to form a new structure.

A typical model based on best practice would look something like:



- Each of the delivery functions (Relationship Management, Programme/Project Management, Business Analysis and Change Management) would have a lead and team of practitioners from senior roles through to junior positions;
- The Design Authority, Programme Management Office and Benefits Management functions/teams would support the delivery functions/teams and span the entire change lifecycle from initiation through to implementation/closure and benefits realisation.

Characteristics/Benefits

- All services are brought together thereby linking strategic analysis, planning and implementation and their processes, management systems and standards;
- It provides a single point of reference, ownership and accountability;
- It facilitates the creation of a single “source of truth” with one portfolio representing all change activities spanned across IIP and non-IIP led change;
- Centralises responsibility for regulating new change requests and tracking and reporting existing work including benefits realisation;
- Would act as the main conduit with the external environment regarding new regulation, policy formulation and the latest in best practice, innovation and thinking within policing and other sectors;
- Provides training, guidance and assistance to individual programmes, projects and staff;
- By concentrating resources in one place, it moves away from the random and ad-hoc assignment of staff to lead change programmes/projects who probably aren’t equipped with the skills and support to be truly effective;
- Culturally, it will also make the force become more rigorous and stringent when assessing new change and monitoring and tracking benefits.

Next Steps

- If accepted, then the recommendation is that the force utilises the recent assurance of the existing change programmes to develop a single change plan and identifies the resource and skills gaps to produce recruitment and training plans;
- The assumption based on the capability and capacity assessment, is that the force will be unable to fill all of the roles using existing staff and therefore some new recruitment will be required and almost certainly in the senior/lead roles where the view is that the force lacks the depth of experience and knowledge required in those positions.

Section 5: Legal implications

The current intention is to appoint an IIP under a new procurement. The scope of the services that would be let to the IIP is still under consideration. For the purposes of this advice we have assumed the scope will be (as a maximum) the activities listed below. However, the scope may be more limited once finalised.

For example, the IIP may design the ICT solution but appoint a third party to deliver the implementation of the new ICT systems.

- The provision of strategic and commercial advice and guidance in relation to:
 - Emerging ideas and examples of best practice in policing, public service delivery and
 - ICT enabled service transformation
 - Information and data management
 - Business Intelligence
 - Customer relationship management
 - Cultural change management, performance management and employee relations
 - Communications and marketing
 - The design and implementation of alternative business and service delivery models
 - Procurement and contract management
 - Portfolio, programme and project management
- 'Hands on' involvement / support across all of the above
- The production of:
 - A redesigned Target Operating Model for the force including business (people and process) and technical architecture to a level of detail sufficient to allow implementation
 - ICT strategy
 - Detailed Business Requirements and Functional Requirements leading to a full functional specification for all aspects of the redesigned technical architecture
 - Detailed implementation plans
 - A full business case in support of the recommended TOM in accordance with Green Book standards
 - Procurement documentation in relation to any services or equipment required in the implementation
- In the role of prime contractor:
 - the implementation of all aspects of the TOM including
 - The sourcing and implementation of new ICT systems (software and hardware)
 - Change and configuration management
 - The provision of training
 - On-going portfolio, programme and project management of all aspects of the implementation
 - Following implementation, the provision of an ICT service (for a likely period of 5 to 7 years) including:
 - ICT service and support

- application management and support
- service management
- infrastructure management
- availability and continuity management
- configuration and change management
- application development
- service integration
- hosting of applications and hardware

Legal Risk	Implication
New Procurement	<p>Low risk: Any future procurement of the IIP might include ICT as well as integration services. Detailed advice will be necessary once final scope has been determined. However, on the basis of the indicative scope we think that procurement risk is low.</p> <p>If the PCC would like the IIP to provide ICT services in addition to devising and implementing the TOM and integrating any future services (whether ICT related or not), the scope in the OJEU Contract Notice should be drafted to allow for this. The pre-qualification questions and evaluation criteria will also need to be designed to assess a bidder's capability in this area. As the scope of the ICT services will be unclear at the point of issuing the OJEU Contract Notice, this will require careful thought to ensure the procurement is attractive to a cross-section of bidders and is sufficiently transparent to comply with procurement law.</p> <p>Where additional contractors are required to implement the TOM, an assessment of each contract will be required to determine whether an OJEU procurement procedure is required. As undertaking multiple procurements is likely to be time and resource heavy, the PCC may instead consider undertaking a single large procurement but with multiple lots. This approach relies on the TOM being sufficiently mature to identify the scope of services / supplies required for each lot.</p> <p>The Cabinet Office has suggested that contracting authorities should make better use of multi-lot procurements to try and encourage third sector and SME participation so this approach would fit with the PCC's goals in this regard.</p> <p>The PCC should also consider whether it is desirable to exclude the IIP from bidding on further contracts. Although a potential conflict of interest could arise, it may be possible to take steps to mitigate their impact (such as Chinese walls and confidentiality undertakings).</p>
Transfer of staff/TUPE	<p>Low risk: Any current employees of the force that are wholly or mainly engaged in providing ICT support are likely to be in-scope for the purposes of a TUPE transfer and, therefore, potentially transfer to the service provider on commencement of the ICT element of the services. This could potentially raise employment and pensions liabilities and further investigation would be required to ascertain the extent of these liabilities.</p> <p>There would also potentially be a TUPE transfer risk on exit of any service provider employees who may transfer back to the force (if the ICT services are taken back in-house) or will transfer to the new service provider.</p> <p>For all staff that would remain employed by the force, if the force needs to save</p>

	<p>costs with any future redundancies this would remain a cost for the force. Further investigation into potential redundancy costs would need to be carried out. Indeed the failure of the secondment model to deliver cost savings of this kind has led to a reduction in its use within the NHS, the NHS being the birthplace of the secondment model where it was initially devised to deal with hospital PFI arrangements.</p>
Vires	<p>Low risk: In addition to the procurement the powers of the PCC need to be considered to ensure that it has sufficient powers to run the procurement and to appoint an IIP to carry out the activities in the scope above.</p> <p>Based on the current understanding of the scope, we do not envisage any vires issues but would recommend this is kept under review and the documents drafted in line with the PCC's powers (e.g. nothing outside the scope of or that contradicts with the police and crime plan).</p>
Tax	<p>Low risk: Further detail on finalised scope and nature of the services would be required to fully assess impact. However, based on the information to date we assume that the key liability would be in relation to VAT payable on the ICT services procured.</p>
Compliance	<p>Medium risk: The ICT services that the force will procure from the IIP will impact on information security, data protection and data security. The force would need to carefully monitor compliance from a legal and a reputational perspective.</p>
Liability	<p>Medium risk: The risk in relation to the ICT services would transfer to the IIP. The risk for all other services would remain with the force. If the force suffers losses as a result of the ICT services provided then the force could potentially make a claim against the IIP for those losses.</p> <p>A critical factor will be the interaction of the ICT services with other services provided by or to the force to ensure a seamless service. The IIP will assist to mitigate this risk.</p>
Failure/Exit	<p>Medium risk: If the ICT services do not meet the required service standard then this may impact on the customer journey. The ability to bring the ICT services back in-house would be limited as the programme develops.</p> <p>Therefore, on a failure it would be relatively time and cost intensive for the force to put in place any significant alternative services and/or options. The potential options on failure are:-</p> <ul style="list-style-type: none"> - the force could seek to re-procure an alternative provider. This would include the re-procurement costs and a time lag while an alternative provider is located and transition occurs; - the force could seek a contractual right to step-in on any failure and perform the services itself and/or appoint a third party to perform the services for an interim period. However, the practicalities of this remedy would need to be carefully considered (i.e. would the force have adequate resource to step-in); - the force could terminate the third party provider and bring services back in-house. Assuming the service quality is sufficiently severe such that the force has a contractual right to terminate, this option would be relatively complex in that the services would need to be wound down and staff and assets transferred back to the force. <p>Each option has cost and time impact related to it which could adversely affect service provision in the interim.</p>

<p>Transition to new model</p>	<p>Medium risk: Due diligence would need to be carried out to identify any current contracts and/or assets that would need to transition to the provider/be terminated and any resulting liability. The force should also assess asset transfer/equipment write off costs.</p> <p>Potential impact on service standards and customer journey during transition would need to be investigated further.</p>
<p>Governance</p>	<p>Low risk: Interaction between ICT services and other services will need to be carefully managed to avoid 'gaps'. This risk is significantly mitigated if the IIP takes on the role of co-ordinating any other service streams.</p>

6 Appendices

Appendix A: Change Strategy

The section below outlines in more detail the outcomes framework and change strategy.

Outcomes Framework

A key feature of our change programme has been to build a stronger emphasis upon the outcomes we are trying to achieve and design services or changes to deliver these. In the 2012-13 Policing Plan we began to shift the outcomes from recorded crime. Outcomes are being developed for locality offenders, gangs, OCGs and victims. This will need to develop to match the opportunity for greater commissioning for Police and Crime Commissioners (PCC).

Outcomes will also be important as it will be essential to have a shared view of these between the PCC and the force. They should also underpin the change programme we aim to deliver. In moving towards the Police and Crime Plan the outcomes framework for West Midlands Police should address the following areas:

<u>A. Safer Communities</u> Reduced Crime: <ul style="list-style-type: none">Recorded crime reductionReductions in crime in priority areasDemand reduction on wasteful activity. The public feel safer: <ul style="list-style-type: none">Measures of safetyFeeling of cohesion within communities.	<u>B. Protecting the public from harm</u> Controlling offenders <ul style="list-style-type: none">IOM effectivenessMAPPA effectivenessSex Offender Effectiveness. A reduction in threat from gangs and OCGs: <ul style="list-style-type: none">Threat and harm assessment. Vulnerable people are protected: <ul style="list-style-type: none">Safeguarding assessmentSARC or DA service outcomesReductions in crime in repeat or over represented groups. Strategic Policing Services are provided: <ul style="list-style-type: none">SPA assessment.
<u>C. People receive high quality services</u> People are satisfied: <ul style="list-style-type: none">with our responseWith our actionsWith our communicationWith our overall serviceWith their choices, and that they meet the needs of all citizens.	<u>D. People feel confident in policing</u> Our service is perceived as fair: <ul style="list-style-type: none">Public assessmentEDHR measuresUse of powers. Our service inspires confidence. People think we deal with the things that matter. People think we do a good job. Staff will be confident in the services we deliver.
<u>E. Our people are confident, capable and effective</u> Our staff are confident in: <ul style="list-style-type: none">Their skills and equipmentLeadershipOur fairness and equality.	<u>F. Value for money.</u> We can demonstrate value in how we use our resources.

Change Strategy

Future change needs to be underpinned by the following key design principles;

Design Principles
Change must put the public at the centre of our thinking. We must evidence how a service will impact upon the public .
Services will improve through change at the same cost , or maintain service at a reduced cost. We need to maximise the use of all our resources .
We must focus upon the outcomes the services are trying to achieve and challenge whether the resources we have could be better used by a public or private sector partner to deliver a more effective result.
Change is carried out to achieve clear benefits which need to be set out at the start of any activity. Leaders are accountable for delivering these benefits.
People who deliver services are the critical element of change, which must have a clear people strategy to ensure people have skills and confidence throughout change.
Information drives our understanding of service. Changes must have a clear information strategy underpinning the new ways of working.
Our policing model is interdependent and change must assess the impact on the work of the whole force. Changes between 2013–15 will build upon work we have delivered in the last few years to optimise what we have achieved and build from it.
Change is complex and requires control of resources and risk management. We value programme and project management to make sure things happen effectively. We should seek a strong evidence base for the action we take, making sure our plans are sound and well executed.

From these principles we can see that there are a number of themes that will underpin the change strategy. These are;

1. The Public - providing **Services for all our Communities**;
2. Our People - **skills for policing**;
3. **New ways of working** - using information to maximise the use of our resources;
4. **Future Policing Delivery**; and
5. **Public and Private Sector Partnership**.

1. The Public – providing Services for all Communities:

What is the need? We serve the public, but too often our services don't meet their needs.

Over the last three years we have made changes to how we deliver policing in ways that directly touch the public, using effective approaches to shape services in a way that would add value. We also know from the Contact Counts surveys the types of actions that improve satisfaction. We have a good understanding of what makes people feel confident in us through the Feel the Difference Survey. We are not the best in satisfaction and are behind others in measures of confidence. We have not evolved to the point where services are designed backwards from citizens needs. It is time to look at what our actual services feel like from a member of the public's perspective.

What will we do? We continue to drive the work underway on confidence and satisfaction and make neighbourhood level data available for confidence. We have commenced a new piece of work looking at the experience of a victim, a witness and someone seeking information from the police. We will also be looking at how they would want to interact with us in the future.

We see this work as giving us ideas and skills in order to make some changes to how our services operate. From this will come some new work streams or principles that we will need to put in place for the future. We expect the work to design a programme for us in 2013-15 which is likely to suggest development in the following areas:

Change Programme activities	Predicted benefits
<ul style="list-style-type: none"> • Customer Intelligence: to have a better understanding of those who call us. • Self service: letting the public access information directly. • Mass customisation: how can we make services feel like they are designed to their needs on the scale we operate? • Customer service skills. • Complaints resolution. • Identifying wasteful activity that adds no value. • Mystery shopper work. 	<ul style="list-style-type: none"> • Increased customer satisfaction, especially in less satisfied groups. • An increase in service design skills to supplement the CI and PBB work. • Increased staff confidence in our services. • A reduction in cost through waste reduction and self service. • A reduction in complaints.

2. Our people - Skills for Policing:

What is the need? Ensure our people act according to our values, are skilled and capable in their roles and work to improve how we deliver for the public.

Over the last two years the change programme has made major changes in the way we work. We have shifted from a broad focus upon performance targets in volume crime to valuing a wider range of policing issues. Cost effectiveness has been a stronger feature and we have set service requirements and levels in our departments and LPUs. We have moved away from an omni-competent workforce to valuing specialisation. We still have some reliance on checking and command and control to lead and we neither want this to be a dominant feature of how we lead, nor can we afford it. We have delivered courses but have been poor at targeting skills development. Our people's excellent performance needs to be recognised and poor performance confronted.

What will we do? We need to have a long term workforce plan and talent management strategy. We need to ensure this strategy is a coherent range of interventions and will be asking senior leaders and our staff to carry out workshops to bring these streams and other ideas together as a programme. In terms of progress so far, we have already appointed a new professional head of Learning and Development to modernise how we develop our people. We have also implemented the Diamond Awards.

The workforce plan and strategy would identify the change programme activities to achieve our outcomes, some of which are indicated below;

Change Programme activities	Predicted benefits
<ul style="list-style-type: none"> • We expect to see a more rigorous approach to learning identification and provision which builds upon the roles set out through the Continuous Improvement programme and other change programmes. • We will deliver a programme to improve leadership and technical skills our leaders are expected to hold. • We expect changes in police leadership training and direct entry from national change programmes. • We expect to pilot some coaching programmes. • We will draw from our partner Birmingham City Council, and use their skills in developing the BEST programme to create an effective staff engagement and reward programme. • We expect to make our values a stronger feature of our culture. • We expect to understand our culture more scientifically. 	<ul style="list-style-type: none"> • Increases in all performance outcomes through more effective people. • Increased productivity. • Increased staff confidence in their skills and their leaders. • A shift in culture to one valuing more strongly innovation and service. • Increased evidence of reward of services meeting our values. • Increased evidence of intervention on underperformance. • A reduction in the number and tiers of management roles. • A reduction in professional standards misconduct and corruption cases.

3. New Ways of Working – using information to maximise the use of our resources

What is the need? Continue to improve how we conduct our day to day activities, using tools and other assets to match the best.

We have made some big changes to how people work in our force already, but this has been more about organisation, processes and structure. Our estate, technology and use of information have seen limited progress over a decade. We still have major programmes of work ongoing within Paragon that will remain in this area. 5CI will be a step change in how Contact works and Shared Services will deliver a major change in how our business support functions operate. Changes to the College of Policing and the National Crime Agency will have a major impact.

What will we do? We need to ensure this is a coherent range of interventions and will be asking senior leaders and our staff to carry out workshops to bring these streams and other ideas together as a programme. We see partnering as a major opportunity to help us improve our delivery in this area, and subject to the decision of the PCC we feel this or another route will be needed to help us modernise.

The range of interventions will include a number of activities already indentified, some of which are indicated below;

Change Programme activities	Predicted benefits
<ul style="list-style-type: none"> • We will significantly improve our data quality so we can be more innovative in how we work with the data we hold. • We will implement a major estates strategy that will reduce the number of buildings and look at enhancing our staff working environment. • We will review the use of our fleet. • We will look to exploit resource management systems to improve our productivity. • We will link the estate work on a programme on mobility, agility and flexibility to ensure our information technology can make a difference to how we work. • We will explore options on public self service. • We will look at how information technology is changing the way we work with the public and how we can improve our services in this area. • We will look at projects that build upon the IOM work in Corvus. • We will examine partnering options. 	<ul style="list-style-type: none"> • A reduction in estate costs. • Increases in staff productivity. • Improvements in data quality. • Reduction in data input cost. • Increased visibility of police. • Increased staff confidence.

4. Future Policing Delivery:

Consider how we connect the changes of the last few years with our partners, to create powerful world class policing.

What is the need? In the last three years we have changed the force’s structure, overhauling operating processes and reviewing every delivery unit. Through the tasking process we have improved the level of policing practice in most areas. We are the leading force in evidenced based practice. This is a massive amount of change, unseen in the force’s recent history.

The consequence of this work is excellent performance, ensuring we are seen as a strong performer in many areas. It does however run the risk that collective understanding of our model of delivery is not understood across the force, therefore the benefits of the broader delivery model may not be achieved. There is also an opportunity to build upon the changes we have made so that the operation of the force is managed in a more coherent way, with future evolutions will get maximising this. We will need to build partners into this development as their own delivery is an integrated part of our service.

What will be done? A major Operational Policing Strategy programme should exist in order to consolidate learning and direct change activities to achieve our outcomes. To bring this into focus, we have already made a commitment that our policing style should ensure:

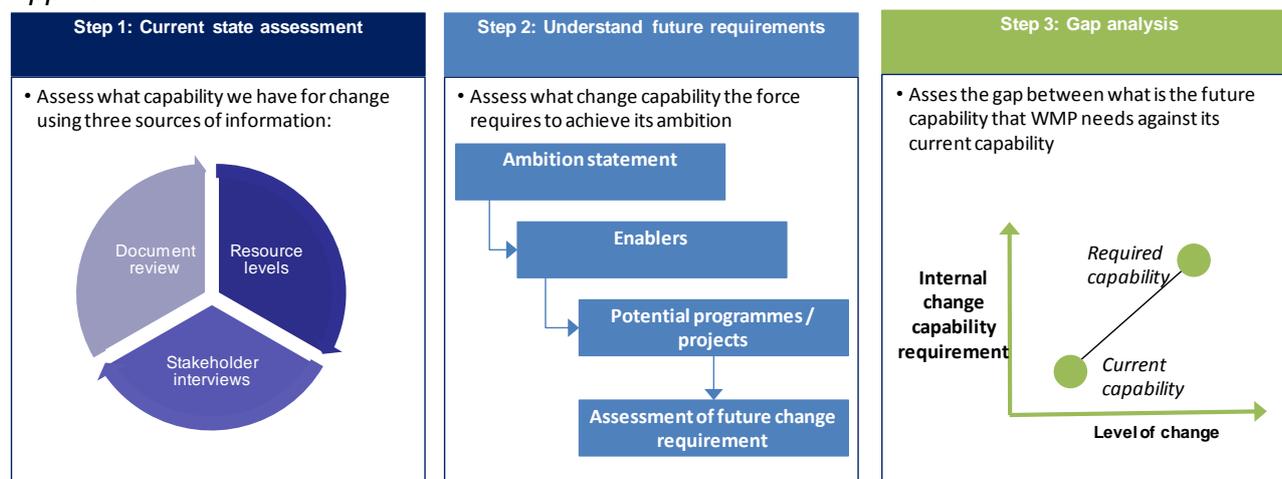
- Effective control of **offenders** including the Gangs or OGCs they are a part of. We aspire to have a highly attuned grasp of who we need to focus upon and the ability to marshal effective interventions.
- Interventions are focused on reducing vulnerability in individuals or segments of society who are **vulnerable**.
- Places we have identified through Priority Neighbourhoods that have chronic problems, need very effective interventions to address.
- We reduce wasteful **demand** on public services by getting things right and providing joined up solutions.

The operational policing strategy programme will include a number of activities already identified, some of which are indicated below;

Change Programme activities	Predicted benefits
<ul style="list-style-type: none"> • Consolidate policing knowledge, strategies and tactics. • Target future Continuous Improvement to strengthen operations and improve efficiency. • Develop policing practice delivery with our partners to ensure our policing model and the ways of working and skills of the organisation operate effectively to achieve control on offenders and challenging places, reduce vulnerability and demand. • Cement improvement in experiments and a doctrine of evaluated practice that involves the whole organisation. 	<ul style="list-style-type: none"> • Sustained performance on all areas of the outcomes framework.

Appendix B: Business change capability assessment

Approach



The assessment of the force’s current business change capability is based on three sources of evidence:

- I. Interviews with key stakeholders who are delivering and leading business change,
- II. Building an understanding of the change delivery experience within the organisation, and
- III. A review of key change programme / project documentation.

This evidence has been assessed against a list of key factors, skills and experience required to deliver change.

The results of this assessment have then been mapped against the future requirement for change in the force. The future requirement is based on breaking down the ambition statement into key outcomes and programmes of work required to achieve these outcomes, to provide an indication of the scale of change required. We have then assessed how the gap between the scale of change required and the force’s current change capability varies depending on which option is progressed by the force.

As Is assessment

Based on stakeholder interviews and document review, the table below summarises the force’s capability against the components required to deliver significant business change.

Capability component	Assessment of capability	Stakeholder comments	Capability level
Ownership & Leadership	<ul style="list-style-type: none"> Leadership is generally seen as positive and visibly supportive of / bought in to change The leadership’s focus on building change capability has been pivotal in enabling the force to meet CSR requirements Ownership of change is inconsistent, as ACPO roles change approximately every 2 years whereas change programmes often run to longer timeframes The spread of change programmes / projects across different ACC portfolios is perceived as encouraging silo working and a lack of integration of change activity 	<p><i>“The role of the SRO is not clearly understood and difficult to carry on top of operational requirements”</i></p> <p><i>“We work in silos and everyone has a different agenda”</i></p> <p><i>“Our understanding of change has improved significantly in the last 2 years and you can see this in the language we use”</i></p>	
Strategy & Governance	<ul style="list-style-type: none"> There is limited confidence that change activity is clearly linked to the force’s strategic goals Although there are pockets of good governance practise within particular 	<p><i>“We focus on the process rather than the purpose of change”</i></p> <p><i>“The criteria for assessing</i></p>	

	<p>programmes, this is not consistent</p> <ul style="list-style-type: none"> • There is little evidence of effective integration of change activity, or management of dependencies across programmes / projects • The role of the PMO / DA is not yet well understood or seen as effective in driving and delivering change programmes / projects 	<p><i>what we do are not sophisticated</i></p> <p><i>"Governance structure are strong at the moment, but only because they're very centralised"</i></p>		
Programme / project management	<ul style="list-style-type: none"> • Programme / project management has improved in the last two years, but still requires significant investment and improvement • Programmes with external support (CI, PBB) have played a role in increasing the skill levels • There are not sufficient skilled and experienced resources to carry out current change activity • Continuity and concentration of resources with PPM skills and experience is limited – officers are required for operational roles and staff with PPM experience are dispersed across a number of functions 	<p><i>"Unsophisticated"</i></p> <p><i>"The force is fixated on qualifications rather than whether projects are delivering"</i></p>		
Lean / performance improvement	<ul style="list-style-type: none"> • The CI and PBB programmes have created a significant pool of people with experience of delivering LEAN / performance improvement projects • Their skills have been enhanced by training and skills transfer from external consultants • However, resources allocated to these change programmes are seconded for relatively short periods (generally less than 2 years), and experience is thus dispersed back into the organisation and operational requirements 	<p><i>"We are getting much more structured and confident at this but resourcing remains a risk"</i></p>		
Performance management	<ul style="list-style-type: none"> • Feedback indicates that policing / business performance management has improved in the last two years. Tools such as the EPPF give visibility of performance data • Performance will need to change as the organisation transforms, including developing measures and incentives to reinforce force values and incentivise achieving desired outcomes 	<p><i>"We're developing real rigour around what the force values, for example, through the EPPF"</i></p>		
Benefits management	<ul style="list-style-type: none"> • There are pockets of good benefits management in the force, particularly where programmes have been supported by external consultants e.g. CI, PBB • Although the major programmes / projects have some form of benefits realisation plan, this is not consistent and of variable quality. For example, the Portfolio Assurance work carried out by the PMO / Design Authority has flagged issues within benefits management for the 5Ci and Shared Services programmes and Agility and Mobility projects. • Although a project accountant has been appointed recently, there are limited benefits managements skills / experience within the organisation 	<p><i>"Savings projections seem to be made up, with no sense of when savings will be realised or control when projections are slipping"</i></p> <p><i>"We only focus on FTE savings, not process savings or implementation costs (other than wages)"</i></p> <p><i>"We only do this because people chase us to do it"</i></p>		
Change management & stakeholder	<ul style="list-style-type: none"> • Again, an understanding of, and capability to deliver, both change management have improved within the force - particularly on programmes that have had external 	<p><i>"We do command & control instead of not change management"</i></p> <p><i>"Stakeholder engagement"</i></p>		

engagement	<p>consultancy support (PBB, Continuous Improvement).</p> <ul style="list-style-type: none"> • However, change management / stakeholder management is not fully embedded as a core way of working across all change programmes / projects • Another key risk in this area is that the lack of co-ordination across programmes / projects means internal stakeholders are repeatedly affected by change activity, but the overall impact is not fully understood and therefore managed 	<p><i>is not seen as a valuable skill</i></p> <p><i>"We're not in the mindset of really engaging, we just do it because someone will chase us otherwise"</i></p>				
Training and personal development	<ul style="list-style-type: none"> • All the major programme leads interviewed have learnt to deliver change through carrying out their current change role and, in some cases, skills transfer from external consultants rather than through receiving any formal training or support • However, formal support (in terms of training, mentoring and personal development) for business change leaders is extremely limited • Some progress has been made in developing and delivering internal training for PBB and Continuous Improvement that has increased skills in Lean / performance improvement, and investing in professional procurement qualifications • Formal training is limited around business change capabilities and there is limited career development within business change 	<p><i>"Training is non-existent, but this has to be balanced against what we need"</i></p> <p><i>"We do on the job training"</i></p> <p><i>"There are some good people in the force who could lead the big transformational changes, but it's having the experience to challenge that we lack"</i></p> <p><i>"We don't do leadership and personal development"</i></p> <p><i>"Poor"</i></p>				
Innovation / learning from other organisations	<ul style="list-style-type: none"> • There are some specific examples of innovation and learning within the force, for example, absorbing learning from external suppliers or individuals within the organisation with experience of other / similar organisations (e.g. taking GMP's experience of PBB and changing the implementation sequencing as a result) • However, there is little evidence of a sustained, organisation-wide focus on innovation or the uptake of new ideas / experience from other organisations 	<p><i>"We don't see much learning or innovation – we're just as good as the individual"</i></p> <p><i>"Our default position is that we're the police and we're different"</i></p> <p><i>"Our curiosity is limited and there's no internal stimulus to consider new ideas"</i></p>				

Definition of levels of change

Level	Description
1 – Low level change	Process improvements, some cost savings, minimal ICT changes, some programme / project management within each change activity
2 – Medium level change	Multiple process improvements, restructuring parts of the organisation, Shared back office services, some ICT changes, some headcount reduction, robust governance and programme / project management within each change activity
3 – Complex change	End-to-end process and performance improvement, structural changes to functions, infrastructure changes (estates, fleet), ICT system changes, significant cost / headcount savings, performance management to drive business improvement, some governance and integration across programmes / projects
4 – Early transformation	Significant organisational re-design of both frontline and support services, supporting infrastructure changes (e.g. estates, fleet), wide-ranging ICT changes, robust governance and integration of programmes / projects, change activity aligned to strategy
5 - Transformation	Innovation and creativity in organisational re-design of both frontline and support services (e.g. re-designing the policing model to put the customer journey at the heart of the policing process), supporting infrastructure changes (estates, fleet), full ICT redesign to meet new force requirements, significant behavioural and cultural change to embed values and new ways of working, robust governance and integration of programmes / projects, change activity demonstrably delivering the force strategy

Stakeholders consulted

- PMO / Business Change – Martin England & Harriet Brown
- Continuous Improvement – T/Supt Alison Telford & Ins Beth Bridges
- PBB – Sarah Buckley
- CJC – Ch Supt Steve Anderson and 5Ci – Supt Chris Johnson & Tim Chesworth
- Customer Journey – T/Supt Mark Griffiths & Pete Evans
- Paragon / Birmingham South – Ch Supt Emma Barnett
- Temporary Director of Resources – David Wilkin
- Chief Information Officer – Chris Price
- Head of ICT – Adel Al-Shehab
- Head of HR – Chris Rowson
- Head of Procurement – Gordon Jones

Appendix C: ICT capability assessment

1. Maturity of the ICT function/service

The following tables set out a qualitative assessment of the capability of the ICT function / service. The assessment has been put together by examining the maturity of key services within ICT.

Maturity levels of red, amber and green have been used, with green, indicating the capability is fully available and mature, providing a high-level of service and effectiveness to the business. A maturity level of amber means the capability is available and provides an adequate level of service, although there is opportunity for improvement. A maturity level of red represents an immature or non-existent capability.

• ICT “Design” Capability

ICT Capability	Assessment of capability (based on stakeholder interviews, document review and previous KPMG work)	Importance of the capability for delivering IT-enabled change	Maturity level	
Strategic IT	<ul style="list-style-type: none"> The existing ICT structure reflects “keeping the lights on” and there is no strategic capability. The strategic significance of initiatives is not fully understood at working level within ICT. 	<i>High</i>	Red	
Enterprise Architecture	<ul style="list-style-type: none"> There isn’t an enterprise architecture capability. The technical architect lead role is currently unfilled. Current state technical architecture diagrams exist but these are not comprehensive and not aligned to an enterprise view. 	<i>High</i>	Red	
Opportunity development	<ul style="list-style-type: none"> There is insufficient ICT “Business Analyst” capability to support developing “IT enabled business change” opportunities. There aren’t the processes in place to enable “ideas” and collaboration to happen, so that good ideas can be developed internally. 	<i>High</i>	Red	Amber

• ICT “Build” Capability

ICT Capability	Assessment of capability (based on stakeholder interviews, document review and previous KPMG work)	Importance of capability to deliver IT-enabled change	Maturity level	
Portfolio management	<ul style="list-style-type: none"> Portfolio management capability is immature. There is insufficient clarity around the business contribution of projects within an overall portfolio, or how projects align to overall strategic objectives. There is not sufficient governance in place to fully understand a project’s actual status and whether it will be successful or not. 	<i>High</i>	Red	
Benefit Realisation management	<ul style="list-style-type: none"> Benefits management is conducted but not with sufficient rigor, or sometimes not at all. 	<i>High</i>	Red	
Stakeholder and change management	<ul style="list-style-type: none"> Historically there has been insufficient engagement with the business when delivering IT-enabling technologies. 	<i>High</i>	Red	

ICT Capability	Assessment of capability (based on stakeholder interviews, document review and previous KPMG work)	Importance of capability to deliver IT-enabled change	Maturity level	
	<ul style="list-style-type: none"> Where there has been engagement, this has often not been pitched using the right business language. 			
Solution Development	<ul style="list-style-type: none"> There have been a number of solutions developed successfully. There is a standard approach to solution development and implementation – although success has been based on the volume of resource that has been allocated to a project (i.e. Big/high profile projects get enough coverage, whereas smaller projects often don't - which opens them up to failure). 	<i>High</i>	Amber	
Project & programme management	<ul style="list-style-type: none"> There is insufficient PM capability within ICT. The business is normally responsible for project sponsorship but does not always actively participate or take sufficient responsibility. 	<i>High</i>	Amber	
Configuration change & release management / service integration	<ul style="list-style-type: none"> Change processes, procedures or standards are not sufficiently embedded into working practices. The wider impact of changes is not always thought through properly. Some stakeholders have described deployment of change as a 'fingers crossed' approach. Configuration management capability is the least mature. 	<i>High</i>	Amber	Red

• ICT "Operate" Capability

ICT Capability	Assessment of capability (based on stakeholder interviews, document review and previous KPMG work)	Importance of capability to deliver IT-enabled change	Maturity level	
IT service support	<ul style="list-style-type: none"> A Service Desk function is being rolled-out based on ITIL principles and processes. Although, there is still some way to go to get it to be fully effective and proactive. Some calls are not being fully followed through. Knowledge Management tools and capability are being developed as part of the Service Desk function. 	<i>Medium</i>	Green	Amber
Application Management & Support	<ul style="list-style-type: none"> The Applications Management function is fairly well developed. There are insufficient testing environments – often testing is done in the live environment. 	<i>Medium</i>	Green	Amber
IT performance management	<ul style="list-style-type: none"> There are some basic figures around service availability and systems performance. These are not provided on a consistent basis, nor are there formal KPIs. Work is underway to develop the IT performance management regime. 	<i>High</i>	Red	
IT demand management	<ul style="list-style-type: none"> ICT are managing the currently level of service demand. The focus is on the "business as usual" service. There isn't a defined set of ICT services. 	<i>Medium</i>	Amber	
Information security Management	<ul style="list-style-type: none"> This capability has been developed recently. There are now security risk logs in place and technical policies and standards in place. More can be done to achieve security accreditation, and more needs to be done to raise the profile of Information Security across the force. 	<i>Medium</i>	Amber	
Infrastructure	<ul style="list-style-type: none"> There is sufficient capability to support the 	<i>Medium</i>	Green	Amber

ICT Capability	Assessment of capability (based on stakeholder interviews, document review and previous KPMG work)	Importance of capability to deliver IT-enabled change	Maturity level	
management	infrastructure. <ul style="list-style-type: none"> • Contracts are in place with infrastructure partners (e.g. Northgate) to provide regular specialist cover. • No mechanisms exist to monitor and review the current capacity of the infrastructure. 			
Availability & continuity management	<ul style="list-style-type: none"> • No measurement of system availability takes place, just simple logs taken from servers. • Outages and capacity problems are dealt with on an ad-hoc basis. • Key initiatives are now in place to improve resilience. 	<i>Medium</i>	Amber	
People & capability management	<ul style="list-style-type: none"> • Not all the leadership roles in ICT are filled. There has also been significant flux in mid management ICT roles meaning people are not always sufficiently well looked after. • Communications within ICT has historically been poor. • Training and development has been based on a technical necessity basis rather than linked to career objectives. 	<i>High</i>	Red	
IT governance & compliance	<ul style="list-style-type: none"> • An ICT steering group has been established but needs to consider more business representation. • There are standards in place, but these are low level and are not completely transparent. • ICT risks are being better considered, although further work needs to be done to embed risk management processes. 	<i>Medium</i>	Red	Amber

- Capability for “Improving” ICT

ICT Capability	Assessment of capability (based on stakeholder interviews, document review and previous KPMG work)	Importance of capability to deliver IT-enabled change	Maturity level
Customer relationship management	<ul style="list-style-type: none"> • There is a disconnection between the business and ICT, with the business not always being fully engaged. • The business relationship function sits outside of ICT within the IM team. 	<i>High</i>	Red
Financial management	<ul style="list-style-type: none"> • There is insufficient financial management capability with ICT. The full cost of IT is not fully understood. Some financial management capability is provided by finance to assist ICT with budgeting support. • There is insufficient capability to financially manage key ICT supplier contracts. 	<i>High</i>	Red
Procurement & vendor management	<ul style="list-style-type: none"> • There is a lack of consistency and skills in managing the procurement process, defining contract requirements and developing relationships and partnerships. • The process for overseeing third-party service providers and the delivery of services is informal. The supplier management capability is immature. • Suppliers providing multiple ICT services are not managed as a single account. 	<i>High</i>	Red

Value management	<ul style="list-style-type: none"> • The organisation does not have mechanisms in place to understand and assess the value of ICT. 	<i>Medium</i>	Red
Service level management	<ul style="list-style-type: none"> • Basic service level management processes exist. These are not formalised. 	<i>Medium</i>	Red

2. Information Management capability

IM Capability	Assessment of capability (based on stakeholder interviews only)	Importance of capability to deliver change	Maturity level
Strategic Business Intelligence	<ul style="list-style-type: none"> • There isn't an organisation wide strategy for business intelligence although one is currently being prepared. • The Information Management team is mainly of a legislative nature, managing the transactional information needs and data quality. • There is a separate information team within the OSD group that manages performance information. • The Information Management team consists of different bundled groups. This includes: CRB (50 people); PNC (50 people); Disclosures and FOI (8 people); Records Management & Quality (14 people); Geospatial (4 people); information Security (2 people). The “business insight” skills appear to sit within the operational departments. • It is not clear whether information provided is 	<i>High</i>	Red

	aligned to the organisation's strategy and value drivers.			
Governance & data quality	<ul style="list-style-type: none"> • Business users do not always have confidence in the information they get. • There isn't a common data architecture across all systems. The structure for managing master data across systems is not optimal - there are multiple master data records. • Part of the Information Management team is focused purely on records management and data quality – where regular data quality audits are completed. • More can be done to continually improve the quality of data provided and to educate, and recognise the burden and responsibility place on front line staff to collect quality data. 	<i>Medium</i>	Red	Amber
Service Management	<ul style="list-style-type: none"> • There is no formal service management capability within each group within the Information Management team. • The role of the Information Management team is generally not fully understood by the business. • More can be done to have a clear definition of the information services provided where users know the expected outputs, schedules and service levels. 	<i>Medium</i>	Amber	
People, Processes & technologies	<ul style="list-style-type: none"> • BI skills and capabilities are not easily shared within IM as it is structured around different bundled teams, with different remits. • There is an evolving process and strategy around information security. Although there isn't sufficient information security capability. • Users can access aggregated information in the data warehouse but they cannot see through to a granular level without accessing the underlying feeding sub system. • There is insufficient use of self service information portals. 	<i>Medium</i>	Amber	

3. Capability of Existing Systems and Infrastructure

West Midlands Police has 200+ applications and components tracked in its applications register. This covers front line systems though to standard desktop services. Within the current estate there are 8 systems that have been identified as key to supporting front line policing. The table below sets out these applications with some analysis on 'what else' is available in the market - which could ultimately form part of a strategic ICT road map for the force.

Type of System	Existing System	Observations
CONTACT	General	<ul style="list-style-type: none"> Contact functionality is currently provided by a small number of Command and Control system suppliers. Forces are looking to deliver Contact in different ways, looking towards more commercial Customer Relationship Management approaches, supported by CRM platforms such as Microsoft Dynamics.
	Automatic Call Distribution	<ul style="list-style-type: none"> The requirement for call distribution is similar to many large commercial organisations and so there is a large market for this capability, sometimes supplied as part of an overall voice telecoms service.
	Command and Control (OASIS)	<ul style="list-style-type: none"> There are a small number of suppliers including Steria (Storm), Unisys, Intergraph and Northgate.
	Integrated Communication and Control Systems (ICCS)	<ul style="list-style-type: none"> There are a small number of suppliers for Airwave-specific ICCS capability, including Sungard and APD. Other approaches to radio over IP networks and communications integration (Twisted Pair) are being used in specialist functions.
	Geographic Information (Blue8)	<ul style="list-style-type: none"> There are a small number of suppliers for full GIS capabilities including Northgate and Esri. Northgate Blue8 product was established as a "national" product under the NSPIS strategy. Elements of GIS are available as components from many suppliers (Google, i2, etc).
INTEL	Intelligence Management System (IMS)	<ul style="list-style-type: none"> There are a range of intelligence management solutions that are specific to the policing market, including: Athena; NicheRMS; Sleuth (Lancs Police); Capita unifi; Memex; Capgemini t-Police; HOLMES 2 (Unisys); and APOLLO (Unisys). There may be new entrants into the policing market as a result of the Metropolitan Police Service programme to look at the future of operational policing systems (OPSF). Some forces are looking at the use of Commercial Off The Shelf (COTS) products such as Microsoft Dynamics as the basis for developing Intelligence Management capabilities.
	Data Warehouse (Oracle)	<ul style="list-style-type: none"> Police Data Warehouse requirements vary little from common commercial needs. As a result, the solutions in this space tend to come from the large database vendors (Oracle having a significant proportion of the policing market). For some forces, products such as NicheRMS and Athena manage data (providing some form of master data management) do away with the need for a separate data warehouse for operational policing needs. Forces expressing business problems that can be categorised as "Big Data" problems – the need to rapidly obtain insight from increasing volumes of data – that are well understood within other markets. This opens up the potential for significant use of Open Source solutions in this space (Hadoop, Storm/Kafka, Drill, Cassandra, etc).
	Intelligence search	<ul style="list-style-type: none"> Typical search products within the policing market include Autonomy, Initiate (IBM), Microsoft Sharepoint and FAST;

Type of System	Existing System	Observations
	(FLINTS)	<ul style="list-style-type: none"> • Again, taking a “Big Data” approach to intelligence information could open up wider use of Open Source (Solr/Lucene).
CASE, CUSTODY & CRIME INVESTIGATION	Integrated Custody Information System (ICIS)	<ul style="list-style-type: none"> • These functions are currently often bundled with Intelligence Management. As a result, the market for Case/Custody/Crime is very similar and includes: Athena; NicheRMS; Northgate Guardian; C3PO; Capita unifi; Memex; Capgemini t-Police; and HOLMES 2. • Case management as a generic capability can be found across the public sector, and in industries such as Insurance.
SUPPORTING INFRASTRUCTURE	Data Centres	<ul style="list-style-type: none"> • While options exist for hosting of specific applications and capabilities (including police service and commercial options), there are limited options for forces wishing to move completely out of locally-owned data centres; • New public sector options will increasingly be made available as a result of work being done by the Cabinet Office.
	Local Networks	<ul style="list-style-type: none"> • The majority of policing network requirements are identical to organisations of comparable size. • Network equipment is normally sourced from one of the big suppliers including Cisco, HP, 3Com and Juniper. • While commercial network security equipment is commonly used, the market for some equipment is small (encryption devices, for example).
	Wide Area Networks	<ul style="list-style-type: none"> • Wide Area Networks are available from a range of Telcos. As the supplier of the current PNN3 framework services, Cable and Wireless have a significant presence in the market. BT, Virgin and others are widely used. • The Public Services Network will be the way in which local partners connect to each other and to shared services; • The PSN will be used to connect forces to common policing services (PNC, PND); • There will be opportunities for increased connectivity and reuse with local partners through use of the PSN to provide Wide Area Network connectivity within West Midlands Police.
	Desktop	<ul style="list-style-type: none"> • The current market is based on use of the SPRINT II commodity IT contract and use of local suppliers or internal teams to provision desktop services; • Citrix, VMWare and Microsoft virtualisation technologies are used by some forces to provide consistent desktop experiences across policing estate; • With the advent of the government End User Device Strategy, there will be an increased opportunity to buy into common desktop services.

Appendix D: Defining Scope

Defining Scope – the journey so far

In the current economic climate with the attendant pressures on public sector budgets it has become increasingly important for the police service to make informed choices about the deployment and cost of resources available to them in order to effectively and efficiently deliver the best policing for the public.

In 2011 HMIC researched and produced the “*Demanding Times – The front line and police visibility*” document. Through this work HMIC attempted to categorise the police workforce into three broad areas; Frontline (visible and specialist), Middle Office and Back Office. This process sought to enable the police and public to identify how resource choices were made and also offered the possibility of analysing differences in approach that exist between forces.

The HMIC report concluded, there is no formally agreed definition of frontline, middle office and back office services, although these are terms in common use across the police service. The report suggested that frontline officers and staff are generally engaged in the public crime fighting face of the force and direct enforcement of the law. Middle office services include a variety of functions which provide direct support to the frontline, such as Police training and criminal justice administration. Back office services are those which keep police forces running smoothly for example HR and Finance.

In considering their recommendations for a definition for the frontline HMIC;

1. Consulted police representatives and considered definitions used in other sectors
2. Carried out a survey to assess what the public perceive constitutes frontline
3. Analysed police roles against two criteria – everyday contact with the public and direct delivery of policing service

Over the preceding three years, West Midlands Police has embarked upon a series of significant change programmes. It is of note that at no point during any of these programmes has a formal definition of frontline, middle office and back office been accepted. It was consequently identified that an early key role for the Policing Task Force should be the exploration of scope – in a departure from HMIC terminology the terms core, support to core and support have been adopted as agreed common language.

Journey to Define Scope

In December 2012 following the establishment of the Policing Task Force, work commenced on defining the meaning and scope of Core Services and Support Services. In addition, an objective was set to develop and apply a High, Medium and Low or equivalent rating system that objectively measures the criticality and benefit opportunities relating to Core and Support services;

The Task Force remit was to complete the work, cognisant of the PCC view that the future direction must ensure that those who deliver core police services, which encompasses staff and officers exercising police powers and the staff engaged to support those fulfilling those functions, will always remain under the direction and control of the Chief Constable.

In commencing this research the Task Force made reference to the HMIC report and additionally, the *Policing 2020* (Policy Exchange) document. In order to determine a West Midlands Police definition, the Task Force explored these ideas further. Through discussions the 'Nine Peelian Principles' (Annex 1) were revisited and it quickly became apparent that these still maintained a relevance in the context of modern policing. The Peelian Principles are a distillation of values espoused by Sir Robert Peel to define the mandate of policing as it developed in the early to mid 19th Century.

A number of early models were developed by the Task Force, which were subsequently refined through consultation and discussion. Some of these earlier concepts consisted of the 'Core to Support Validation Model' which attempted to weight seven underlying principles of policing to allow various organisational roles to be placed along the spectrum, thus providing an overall score out of one hundred.

Another concept was the 'Spidergramme'. This model consisted of three concentric circles with core at the centre, with support to core and support at its circumference. This enabled organisational roles to be mapped against eight principles on a sliding scale of high to low, with high being at the core and low being at the outside perimeter of support.

From the earlier models we were able to identify the consistent themes within each which then became the agreed "Principles of Scope". This in turn enabled the development of the definitions of Core, Support to core and Support.

Additionally the Task Force built upon significant work that had already been undertaken to define policing activities against the Police Activities Glossary (PAG). PAG being an ACPO-endorsed set of terms with definitions that comprehensively describe the business of policing. The same principles of scope were used to map the current 'as-is' West Midlands Police organisational structure.

Model Principles of Scope - including definitions

Core - The 'Police' frontline comprising those who are in everyday contact with the public and who directly intervene through their decisions and actions to keep people safe and enforce the law. This category would include specialist roles whose work is not generally visible to the public.

Support to Core - Roles that require a police specific input of assessment and have elements of direct and indirect contact with the public. Where operational and support functions overlap to carry out police-specific-processes. This also includes the professionals who manage the support roles.

Support - Roles that are necessary to the smooth running of any large organisation and consequently are not unique to West Midlands Police.

The principles were agreed as follows –

Police powers –utilises police powers as defined by statute.

Use of Force - can lawfully employ coercive force as part of their role.

Flexibility of role – may be required to change roles and physically relocate with little or no notice.

Public Confidence –a general public expectation that the person in the role is required to make decisions that could directly affect public confidence in policing.

Police Professional Judgement – the individual is empowered to use their professional police knowledge in order to inform decision making. The organisation would expect the individual to be able and willing to exercise discretion.

Accountability – would be held accountable for their actions through legal/disciplinary process.

Legitimacy – a historically and broadly held consensual, societal acceptance of the role being performed by an individual under the direction and control of the Chief Constable.

Police Specialist – the individual undertakes a specialist role uniquely performed by a warranted police officer with additional training and skills.

Utilisation of professional skills – the role performed by the individual requires the employment of knowledge/skills gained through professional learning often supported by formal qualifications.

Police specific processes – performs a task that would be readily identifiable as a police support function and is unique to delivering policing rather than any other service.

Professional Judgement – would be empowered to use professional knowledge in order to inform decision making in roles where specific employment of police powers and use of force is not required.

Public Contact – a member of the organisation who has contact with the public either in person or via telecommunications media.

Transactional delivery – performs a role that requires the employment of little or no discretion.

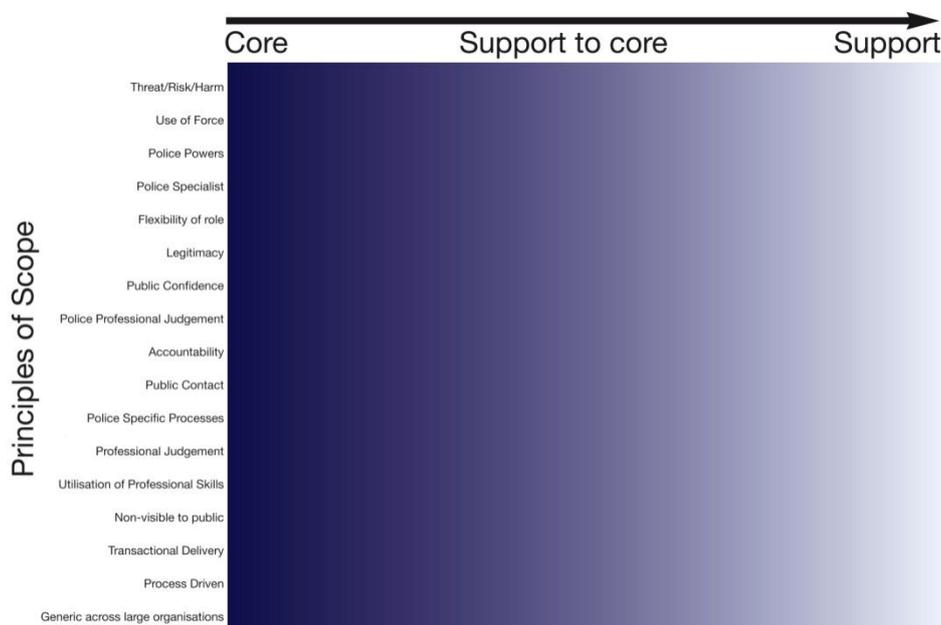
Process Driven – performs a formulaic or repetitive task.

Non-visible to public – performs their role in a ‘back office’ environment requiring no direct contact with the public as a representative of the police service.

Generic across large organisations – the individual performs a service that would routinely exist in most other large corporate entities.

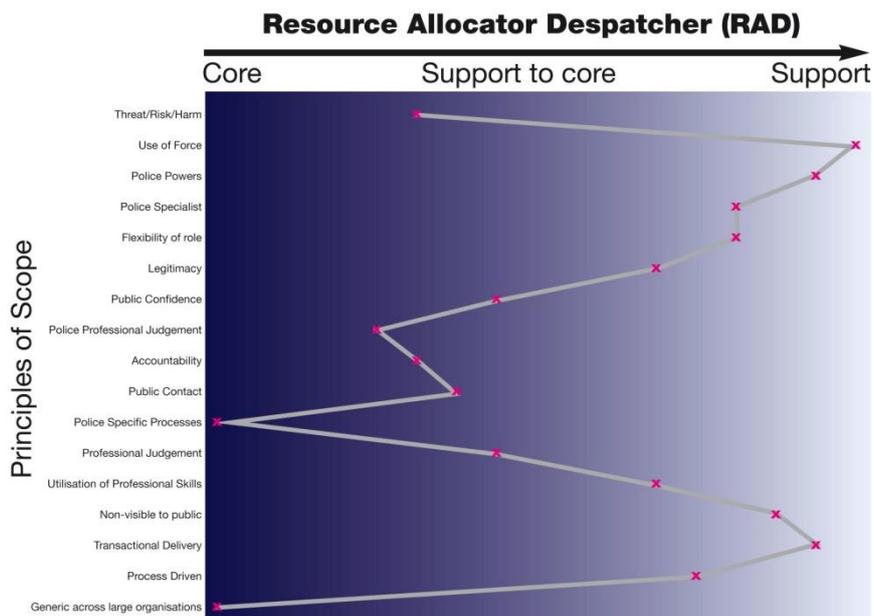
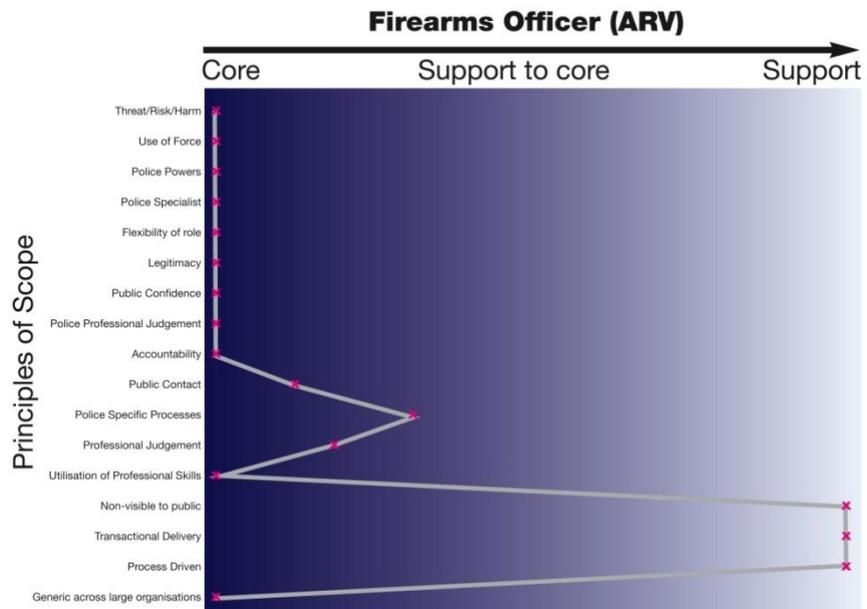
It is also recognised that the management of threat/risk and harm increases from support to core with the greatest threat/risk and harm being managed at the very heart of the core.

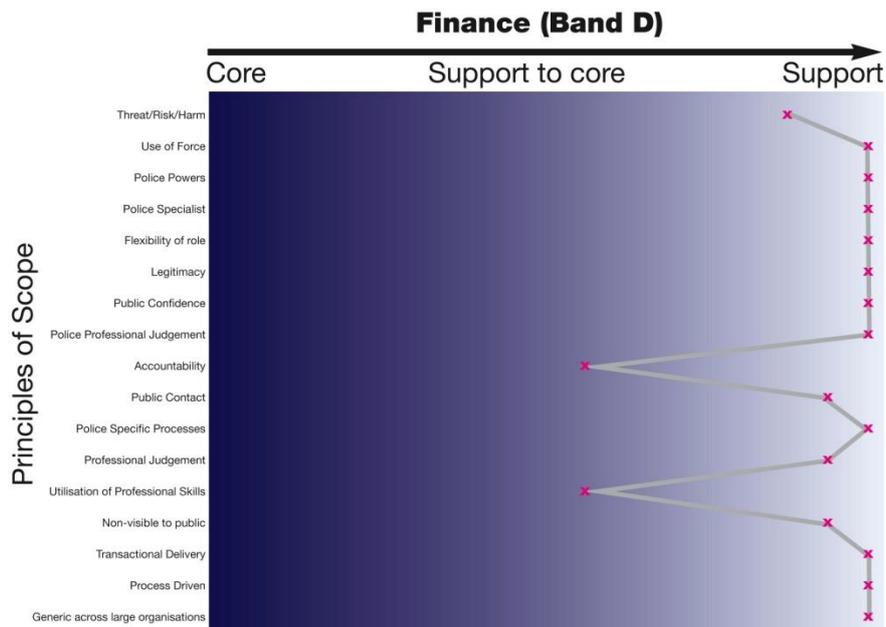
Final model and slide



The model above shows how the Principles of Scope variables, and the categories of Core, Support to core and Support give a spectrum on which every role in the organisation could be plotted. The points could then be joined up and the more in the dark blue the line the closer to core the role, the lighter the closer to support. This model also enables the depiction that some of the variables will run through all the categories in some roles and that there are other role where the variables sit more clearly in a single category.

Whilst it is accepted there is an element of subjectivity involved in plotting a role, the below diagrams start to show what this could look like for a number of roles within the organisation.





The Peelian Principles

1. To prevent crime and disorder, as an alternative to their repression by military force and severity of legal punishment.
2. To recognise always that the power of the police to fulfil their functions and duties is dependent on public approval of their existence, actions and behaviour, and on their ability to secure and maintain public respect.
3. To recognise always that to secure and maintain the respect and approval of the public means also the securing of the willing cooperation of the public in the task of securing observance of the law.
4. To recognise always that the extent to which the cooperation of the public can be secured diminishes, proportionately, the necessity of the use of physical force and compulsion for achieving police objectives.
5. To seek and preserve public favour, not by pandering to public opinion, but by constantly demonstrating absolutely impartial service to law, in complete independence of policy, and without regard to the justice or injustice of the substance of individual laws, by ready offering of individual service and friendship to all members of the public without regard to their wealth or social standing; by ready exercise of courtesy and good humour; and by ready offering of individual sacrifice in protecting and preserving life.
6. To use physical force only when the exercise of persuasion, advice and warning is found to be insufficient to obtain public cooperation to an extent necessary to secure observance of law or restore order; and to use only the minimum degree of physical force which is necessary on any particular occasion for achieving a police objective.
7. To maintain at all times a relationship with the public that gives reality to the historic tradition that the police are the public and that the public are the police; the police being only members of the public who are paid to give full-time attention to duties which are incumbent on every citizen in the interests of community welfare and existence.

8. To recognise always the need for strict adherence to police executive functions, and to refrain from even seeming to usurp the powers of the judiciary of avenging individuals or the state, and of authoritatively judging guilt and punishing the guilty.

9. To recognise always that the test of police efficiency is the absence of crime and disorder and not the visible evidence of police action in dealing with them.