

Appendix 1



Root and Branch Reviews

Phase 1 Overview Report

VERSION HISTORY

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1 PURPOSE OF THIS DOCUMENT

The purpose of this document is to:

- Summarise the background to the Root and Branch Review Programme based on the Project Mandate approved by Cabinet on 5 April 2012
- Describe the approach that has been taken in the first phase of the Programme
- Outline the approach to engagement and the key findings from the *Your Community, Your Say* exercise
- Report on the use of the Transformation Fund so far
- Set out lessons learnt for Phase 2 and 3 of the Programme

Individual review findings and proposals from the Phase 1 Reviews are contained in separate appendices to the Cabinet report.

2 BACKGROUND TO THE PROGRAMME

2.1 Why the Reviews are required

The Root and Branch Review Programme, which forms part of Rising to the Challenge, has been included within the Council's Medium Term Financial Strategy, approved by Council on 3rd February 2012. The Council also agreed to allocate £1.2m of the 2012/13 Council Tax grant as a one-off Transformation Fund to support the Reviews and other transformational activity.

The programme mandate was approved by Cabinet on the 5th April 2012.

The Root and Branch Review Programme is required for the following reasons:

- **Building on our achievements** - Rising to the Challenge has helped us to reduce operating costs and to make significant improvements to the way that we work, whilst also protecting front line services. It will remain the framework for the next two years. We will continue to deliver what we have said we will – but we must go much further. We will also continue to strengthen our evolving partnership arrangements
- **Rethinking the role of public services** – there is a new relationship between Government and local government and between public services and local people, defined by localism and less “top down” prescription. This new paradigm requires us to rethink the role of the Council as a community leader and to review the role of public services in Herefordshire and what we expect people and communities to do for themselves
- **Facing the challenges ahead** - as a country and in Herefordshire, we are facing major changes. These changes involve a bigger financial challenge over the next decade that we must prepare for. We are also seeing many social changes that raise fundamental questions about the role of public services in the future. These challenges require a fundamental review of everything we do, to question whether we need to do things at all and whether there are better ways of service delivery
- **Long term planning** - the Root and Branch Reviews will provide us with a long term plan for meeting the financial and social challenges ahead for Herefordshire. We will

look and feel very different and we will be well placed to respond to further changes to 2020 and beyond

2.2 Project objectives

The objectives of the project are to:

1. Build on the Rising to the Challenge framework
2. Seek to “blend” current (in flight) projects with more fundamental thinking about what we provide in the future
3. Place engagement (resident, Member, employee, partner) at their heart
4. Follow a common methodology for rigour, challenge and consistency, using five gateways for quality assurance purposes
5. Ask fundamental questions about why we provide services, not just how we do things differently and save money
6. Ensure that programme support will be developed using existing skills and knowledge, working in partnership with Hoople

Aims of the Reviews

The Reviews will continue to deliver the Rising to the Challenge Outcomes:

- *Greater Integration*
- *Increasing efficiency & productivity*
- *Managing with less funding*
- *Better outcomes for residents*

But the Reviews will also deliver three additional outcomes, reflecting the fundamental purpose of the Reviews:

- *Redefine the role of Herefordshire Council and other public services*
- *Set out the priorities for the next decade*
- *Rebuild budgets, with clear links between spend and results*

Key Principles

Root and Branch Reviews will be far reaching and comprehensive. In order to ensure that the reviews achieve the outcomes and that we have a consistent approach across all the review areas five key principles will be adopted by Review teams:

- **Challenge everything...** *Reviews will question all that we do, why we do it, how we do it, whether others can do it better and how residents can be more self reliant*
- **Think differently...** *the challenges ahead require a radical rethink about how the needs of Herefordshire residents are met in the future, , including different models of delivery and how we use the totality of resources across Herefordshire*
- **Focus on outcomes...** *it is vital that Reviews focus on the benefits of services for*

residents and communities and what outcomes will be required for the future

- **Evidence based solutions**... decisions about using resources in the future must be based on evidence of what works and what provides the greatest public value
- **Engage and involve**... at all stages of the Reviews we will demonstrate how services users, employees and partners have been involved

2.3 Programme Scope and Timeline

The programme consists of three phases of 6 months from April 2012 to September 2013. Phase 1 reviews commenced in April 2012 with Phase 2 due to start in October 2012.

Phase 1 – April 2012 to September 2012

- Housing, Economy and Regulation Services
- Older People in Herefordshire
- Customer Services
- Herefordshire Streetscene

Phase 2 – October 2012 to March 2013

- Supporting Vulnerable People in Herefordshire
- Transport and Travel in Herefordshire
- Children & Young People in Herefordshire
- Safer and Stronger Herefordshire

Phase 3 – April 2013 to September 2013

- Herefordshire's Environment
- Learning and Skills in Herefordshire
- Living & Wellbeing in Herefordshire
- Herefordshire 2020

Reviews also seek to address six underpinning themes:

1. **Support services:** reviewed and adjusted as programme proceeds
2. **Sustainability:** are solutions future proofed and affordable in the long term
3. **Inequalities:** opportunities to address inequality of opportunity or outcomes
4. **Prevention:** including early intervention and increased social responsibility , a key driver for change in all Reviews
5. **Localities:** how Reviews can support the development/maturity of locality working, including community integration and responsibility/accountability
6. **Partnerships:** early engagement to establish opportunities for collaboration

The impact on corporate and support services will be considered at the end as part of Herefordshire 2020 review.

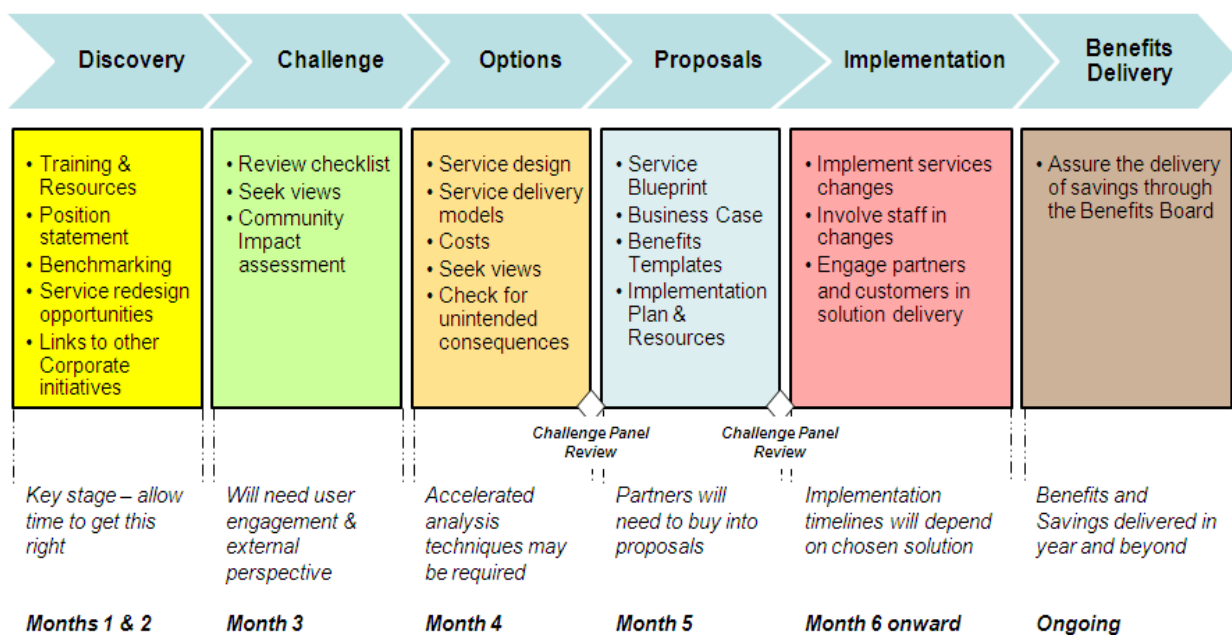
As part of addressing the financial challenges ahead, reviews also looked to address how, as part of the transformation of services, the budget can be:

- Reduced by 20% over 2 years
- Reduced by 30% over 5 years by prevention (with or without invest to save funding)

Individual review findings and proposals from the Phase 1 Reviews are contained in separate appendices to the Cabinet report.

3 APPROACH

The reviews have followed a common methodology to ensure a consistent approach. More information on how individual reviews applied the methodology can be found in the review reports in the appendices.



The methodology has been supported through the following approach:

- Leadership - each of the reviews has a:
 - Lead Cabinet member
 - Sponsor - Director
 - 2 or 3 Review leads – Assistant Directors
- Governance -
 - the reviews have reported into the Rising to the Challenge programme board to update on progress and risks
 - gateway process has been used to challenge and approval the different stages in the process
 - peer review has been used to form a “Challenge Panel” to provide external perspective (has included representatives from voluntary sector, parish councils and other authorities)
- Resources -

- each of the reviews have an allocated project manager/support
- central programme team has been established to support across the programme to ensure linkages and identify cross cutting themes
- cross functional resources such as finance, research etc. engaged in the programme
- dedicated room set up to provide information hub, place for programme team to work and focal point where staff can drop in and find information or talk to programme team

4 ENGAGEMENT

4.1 Approach to engagement

A key principle of the Reviews is engagement and involvement with residents, employees, Members and partners.

To support this objective, a community engagement exercise has been undertaken, to provide an up to date view from residents and partners about the priorities for Herefordshire and a strong foundation for all the Reviews. This also links closely to the development of the Vision for Herefordshire 2020.

The engagement process has three component parts:

1. **The Herefordshire quality of life survey:** This is a quantitative questionnaire based process which has been undertaken a number of times in various forms. The 2012 version included questions asked in previous exercises, as well as questions to specifically inform the root and branch review process. The inclusion of the quality of life survey in this exercise will maintain the on-going integrity of the intelligence that the survey provides – allowing for trends over time to be identified.
2. **'Your community, your say':** The second process, following the quality of life survey, was a series of qualitative events, using a range of externally supported engagement methods. This has been used to add more detailed intelligence to the quality of life survey and the root and branch process about issues at a locality level across the whole county. This stage has also sought to ensure that key hard to reach sections of the community were given the opportunity to contribute. The aim is that this exercise will form the basis for future social marketing activities and will be an essential tool in the development of self-sufficient communities across the county and increasing understanding of localism.
3. **Review Based Engagement:** Where very specific issues are identified and significant changes to services are proposed, bespoke engagement or consultation exercises will be undertaken. These processes will necessarily be iterative and will concentrate on very specific issues and/ or sections of the community. Results from recent consultations will be used where still relevant.

Resident and partner engagement has run alongside other initiatives to secure employee and Member engagement. In relation to Members, engagement will be through:

- Lead Cabinet Member for each Review
- Overview and Scrutiny Committee
- Local Members – through locality discussions as appropriate

Maintaining good informal communication with and between Members will be a key success criteria for the Reviews.

Employee engagement will be through a variety of means, including:

- Team Talk
- The “Why?” initiative
- Change Champions network
- Engagement of employees involved in delivering the services for each review

4.2 What we have learned from engagement

Quality of Life Survey

The survey was a postal survey to 4,125 households in the county, stratified to reflect the three sub-localities of Hereford and the eight other localities. Fieldwork started on 21st May 2012 and at the time of the cut off for replies, 16th July, 1,346 valid responses had been received, giving a responses rate of 33%.

Key Findings

- The top three factors most important in making somewhere a good place to live were the **level of crime, health services** and **affordable decent housing**, as was seen in 2008.
- Whilst **road and pavement repairs** and **activities for teenagers** continue to be in the top 3 most needing improvement, in 2012 **job prospects** has assumed a greater need and is now ranked second compared with 6th in 2008
- When combining priorities for most important to the area and most needing improvement, the aspects standing out are **road and pavement repairs, job prospects** and **affordable decent housing**
- Across the localities, some variation of views on what is important to make the area a good place to live was seen. For example, **clean streets** were more important in the sub-localities of **Hereford North** and **Hereford South**, **public transport** more important in the more rural localities and **job prospects** seen as more important in **Leominster locality** than Herefordshire as a whole and less so in **Weobley locality** and **Hereford Rural**.
- Similarly, there were differences in views across the localities of what most needs improving. For example, **traffic congestion** ranked around 2nd most needing improvement in **Hereford North** and **Hereford South** and typically 10th in the localities of **Bromyard, Ledbury** and **Leominster**. Improving **job prospects** was ranked lower in the **localities** of the **Golden Valley, Hereford Rural** and **Weobley**, while the need to **improve sports and**

leisure facilities was seen as a greater need in **Ledbury** and **Bromyard**, than the county as a whole

- 91% of respondents were satisfied with their **local area as a place to live** (up from 87%) in 2008 while 94% were **satisfied with their home**.
- While most (60%) of respondents had **contact with family, friends or neighbours** most days of the week, for one in twenty the contact is once a month or less and a similar proportion (5%) felt lonely most or all the time.

Priorities for Herefordshire Council

- A large majority of respondents (87%+) agree with 5 of the 6 identified high priorities for Herefordshire Council, while support for the sixth one, **promote self-reliance in local communities** was a little lower at 75%
- There was little evidence of variation across localities of support for **creating a successful economy**, a **resilient and flexible Herefordshire** or an **efficient and accessible Herefordshire Council**. However, compared with the county overall, there was greater support for **improving health and social care** in **Bromyard locality** and for **raising standards for children and young people** in **Hereford South**. Residents of **Hereford North locality**, showed less support for **promoting self-reliance in the community** than was seen in the county overall
- Of the six high priorities listed, the top three were clearly identified as **creating a successful economy**, **improving health and social care** and **raising standards for children and young people**. These were broadly similar in the different localities, though some differences emerged
- 83% of respondents lived in a household that had a **broadband service** and while about half found it adequate for their needs, 44% found it too slow. Of the 17% of respondents living in a household with no **broadband service**, about a quarter wanted it but either had no computer or the service was not available at all or not at an affordable price

Feedback to date from locality events

To be included

- ENGAGEMENT WITH MEMBERS
- ENGAGEMENT WITH EMPLOYEES
- ENGAGEMENT WITH PARTNERS

5 USE OF THE TRANSFORMATION FUND

5.1 Purpose of the Fund

The Council agreed to allocate £1.16m of the 2012/13 Council Tax grant as a one-off Transformation Fund to support the Reviews and other transformational activity, in particular Adult Social Care. The criteria and process for the allocation of the Fund was contained in the Project Mandate.

The Transformation Fund is designed to help deliver projects which support the emerging root and branch programme and the development of innovative services within the reduced funding envelope for local government. Significant elements of the transformation programme must help the Council deliver financial balance in 2012/13. This is a key risk for the Council going forward.

The priorities for the Transformation Fund are to support:

- a. Delivery of the Root and Branch Review Programme
- b. Projects to implement the outcome from the root and branch review;
- c. Projects that seek to change service delivery and so reduce the longer term costs to the Council of services; and
- d. Projects that support the delivery of financial balance;

5.2 How we have used the Fund

	£	Comment
Opening Balance	1,164,000	
Allocated		
Corporate Transformation Team	325,000	Staff costs to support the delivery of a number of key change programmes including: <ul style="list-style-type: none"> • Public health transition • Adult social care programme • Better ways of working
Resourcing – Root and Branch	191,036	Staff costs to support the delivery of Root and Branch reviews – includes project management, support and strategy consultancy
Introducing Lean Systems Thinking	100,000	Consultancy services to implement the Lean Systems thinking into the reviews
Broadband (Go-On HEREfordshire campaign)	140,000	Campaign aims to reach people who are most at risk of being digitally excluded – and it is these people who are most likely to suffer from other effects of exclusion and therefore need local authority intervention (e.g. poverty, isolation, and ill health). Funds will

		provide co-ordinator and enable quick-win technology projects
Transport consultant	25,000	Consultancy services for Transport and Travel review (providing specialist knowledge and expertise into the review)
Quality of Life survey	10,000	Postal survey to residents
Adult social care - reablement	197,000	Staff costs to increase capacity in reablement team
Total allocated	988,036	
Balance unallocated	175,964	

6 LESSONS LEARNED

6.1 What we have learned so far

A key aim of Phase 1 has been to learn from the Root and Branch process so far in order to alter and improve the process, and therefore the outcomes, within Phase 2 and 3.

Project Planning and Governance

The key steps of Discovery/Challenge, Options and Proposals do not effectively cover the whole project activities and requirements and there is a need to more effectively scope and plan reviews prior to project launch.

Governance gateways have been built around existing meeting timetables which have not always been compatible with the project timelines.

The Challenge concept towards the end of the reviews has been a very positive process enabling a fuller consideration of the review proposals and the evidence in support of them.

Project Team Resource

Project teams and project support resource has not always been adequate given the scale of the reviews and the quality of information required to undertake a transformation agenda.

Lean Systems Thinking

Lean Systems thinking is still a relatively new concept for the council and has not been fully utilised as part of the review process in Phase 1 to ensure a more effective consideration of the bigger picture, customer perception and experiences and the cultural shift required by the organisation to truly transform.

Project Tools

Whilst templates, project support and some facilitation tools have been provided within Phase 1 there is a need to apply a more consistent approach to key tools and aids to enable consistent gathering and analysis of information and sharing of outputs and outcomes across the broad range of stakeholder groups that need to be engaged, informed and assisted in decision making.

Stakeholder Engagement

Engagement has been varied and in some cases duplicated and there is a need to ensure that stakeholders, particularly those external to the council, are more effectively engaged as part of the whole phase as opposed to via single reviews.

Data Collection

Considerable levels of data have been collected through the reviews however the benefits of shared access to this information across the reviews has not been realised. Collection of data as baseline and evidence has not been as effective as it could be.

Methodology

There has been inconsistency in the application of the review methodology and process across all of the reviews at various points, leading to missed opportunities for cross review working and clarity of review messages on activities, outputs and outcomes.

6.2 Changes to our approach for Phases 2 and 3

Project Planning and Governance

The scoping and planning element of the process has been brought forward and formalised in order to ensure that projects are not launched without a clear understanding of the scope, aims and objectives. An informal challenge of the scope and plans will be run by the Root and Branch Programme team prior to the projects moving into the Discovery phase.

Programme timelines have been set out at the beginning of Phase Two and requests for Programme specific meetings (such as the Rising to the Challenge Board) have been requested.

The benefit of the external Challenge panel has been acknowledged along with the general challenge process. This process will be maintained and in addition an internal challenge process will be developed for use at each phase of the Phase 2 programme.

Project Team Resource

Additional programme support resource has been recruited (on a temporary basis) to ensure adequate support in Phase 2. In addition to this the earlier scoping and planning of this Phase has enabled Project Leads to establish the most appropriate officers, partners and potential critical friends to work with them on the review.

Lean Systems Thinking

A Lean Systems specialist has been recruited to work within the Root and Branch Programme Team and will focus on the Discovery stage using Lean Systems thinking methods to ensure that work is better understood from the customer's point of view.

Project Tools

The key stages of the review process have been reviewed by the programme team and clearer guidelines, templates and facilitation tools will be made available along with training and awareness support as required. The regular challenge aspect of the revised process will ensure better opportunities to exchange knowledge and information across the whole programme.

Stakeholder Engagement

The project planning requires early identification of key stakeholders and reasons for engagement which will enable planning for contact on a programme basis (as appropriate) as opposed to within individual reviews. This will enable a more joined up approach and opportunities to identify customer, partner and service synergy.

Data Collection

The use of the Lean Systems Specialist in Discovery will improve the collection of service demand data and verification of activity levels. Key advisors (Human Resources, Commissioning, Finance, Legal, Partnerships, Equality and Inclusion) for the programme have been introduced to the Stage 2 leads prior to project launch in order to enable the more effective collection and verification of key data. The Programme team will operate a Sharepoint document library to ensure that information is as accurate and up to date as possible.

Methodology

The increase in Programme Support and the agreement on ways of working have offered improvements to the process which will be able to be effectively supported through a team approach that ensures cross review working.

7 KEY RISKS

4.1 Risks

Risk	Mitigation
Lack of ownership of review solutions at all levels within the council	Early transparent engagement of all stakeholders to ensure understanding, buy-in and commitment delivered in line with agreed plans
Partners may not be on board with changes	Ensure partners are clear about changes and how they can support the transition
Complex messages are not understood by staff making the change difficult to implement	Series of face to face sessions with leadership team planned to help staff understand the key changes and why the need to do so
Recently let contracts or contracts soon to be competed could be in conflict with services being reviewed	Ensure that there is alignment between current commercial and procurement initiatives and the reviews to minimise impact of change and limiting options available during reviews
Transformation involves change in culture and expectations which takes time to deliver	As part of the implementation, a change management plan will be developed and

	support by the transformation team
Capability and capacity of staff to undertake the implement the changes	Understand the required skills to implement and whether they are available. Prioritise against timetable of changes required