

Epping Forest District Council – Service Review Framework				
Date	<i>May 2021</i>	Version	<i>1.0</i>	Owner
Purpose	<p>This framework is designed to ensure that proper consideration has been applied to options for service improvement. It seeks to identify and address the key reasons for any change proposed and sets out options for change that can be considered by the Council. This framework does not seek to establish an outcome (decide an option) but merely sets out the facts, and supplies options for consideration.</p> <p>This framework should seek to deliver a document that will stand alone and contain all the essential information about the service, its performance, drivers for change and options for improvement.</p> <p>This framework is design to reside at the beginning of any consideration for a change to any service, should a change be selected a further element of the framework 'EFDC readiness for service' (Section B) should also be populated to ensure that any project to make the change is best informed, and the change is still valid, prior to it taking place.</p>			
Section A - Initial Service Review				
No.	Description	Purpose	Questions	Sources
1	Scope	This section sets out the scope of the review and places limits on the extent of analysis	N/a	
2	Service description	Describes the service in question and sets out to the reader what the service does, and at the highest level how it works. This should be a simple explanation and allow anyone, without prior knowledge to understand.	<ul style="list-style-type: none"> • What does the service do? • Why is it required? • How does it work? 	<ul style="list-style-type: none"> • Service plans • Process information • Stakeholder interviews • Staff interviews
3	Driver(s) for change	Describes why change is required, typically due to, Market demand or trading opportunity, Organisational need, Customer request, Technological advance, Legal requirement, Ecological or environmental impacts (e.g., carbon footprint reduction), or Social need.	<ul style="list-style-type: none"> • Why is the change required? • Why is it required now? • How will the change support the Council's strategic objectives? 	<ul style="list-style-type: none"> • Council strategy • Local plan • Development plan • Service plans
4	Background	Describe what events have led to this review. This section sets the context for the review.	<ul style="list-style-type: none"> • What events led to this review being required? • How does the service fit with the Council more widely? 	<ul style="list-style-type: none"> • Submissions to Committees • Essential performance information • External benchmarking • Strategy • Service plans

5	Performance	Describe in detail how the service is performing presently, set out the context of performance over time (aim for 3 to 5 years)	<ul style="list-style-type: none"> • How well is the service performing today? • How do we know this? Cite what data and why it proves performance • Describe the performance levels in comparison to 'good performance' • Demonstrate service performance over time (is it better/worse or the same?) • What is the customer perspective? 	<ul style="list-style-type: none"> • Management information • KPI's • Stakeholder feedback • Analysis • Benchmarking • Customer feedback • Complaints • Portfolio holder perspective
6	People	Describe the capacity and capability of the Staff who undertake the service delivery	<ul style="list-style-type: none"> • How do they seem? Happy, engaged, or indifferent? • Does the service have sufficient capacity? • Are the staff capabilities at the correct levels to drive good performance? • Are staff engaged with personal development? • Is the service carrying unfilled roles? If so, then why? • Does the service have high levels of sickness absence or unplanned staff turnover? If so, why? 	<ul style="list-style-type: none"> • HR data • Structure chart • Staff interviews • Stakeholder interviews • Customer feedback • Personal development plans
7	Process and technology	Describe the systems and technologies employed by the service	<ul style="list-style-type: none"> • What is used? • What for? • Is the use restricted to this service only? • Does the service hold the license or is it held by I.T.? 	<ul style="list-style-type: none"> • IT systems and assets records • Licensing documents • Budgets • Process/systems documentation • Stakeholder interviews

8	Cost and budget	Describes the service delivery and associated costs	<ul style="list-style-type: none"> • What is the cost of delivery? • Is the cost stable, increasing or reducing? • Is the cost acceptable? • Are good cost control techniques being employed? • Can an improvement be demonstrated? 	<ul style="list-style-type: none"> • Budgets • I+E • Benchmarking
8	Strategic issues	Describes strategy development and service delivery in the context of best practice	<ul style="list-style-type: none"> • Does strategy development exist? • Does it work? • Does it translate to outcomes? • Do staff understand their connection to the strategy? 	<ul style="list-style-type: none"> • Strategy • Strategy development process information • Action plans/work boards
9	Risk	Sets the risk context for the service and tests mitigation	<ul style="list-style-type: none"> • Can risk management be demonstrated? • Do staff understand the method? • Is it effective? Can that be evidenced? • Is mitigation tested? 	<ul style="list-style-type: none"> • Risk register • Audit reports • Staff interviews • Test reports
10	Options	Describes options for change and sets out relative strengths and weaknesses for them.	<ul style="list-style-type: none"> • Identifying how similar projects were done in the past • Documenting the alternative solutions. • Quantifying the benefits of implementing each solution • Forecasting the costs of implementing each solution • Assessing the feasibility of implementing each solution 	<ul style="list-style-type: none"> • Service change documents • External best practice • Professional sources (like RICS for example)

			<ul style="list-style-type: none"> Identifying the risks and issues associated with each solution 	
11	Options summary	A summary of the relative risk and return for each option. These are assessed in a matrix.	<ul style="list-style-type: none"> Impact on people Impact on process Impact on technology Impact on income Impact on Cost (delivery) Impact on the Customer 	<ul style="list-style-type: none"> Options table
12	Feasibility	Are the options feasible?	<ul style="list-style-type: none"> Are suggested Markets feasible? Are available technologies feasible? Is the intended Operation feasible (include Quality of processes) Is the option economically feasible? Is the option feasible with current or planned capabilities? 	<ul style="list-style-type: none"> Market research Technology appraisal or RFI Operations analysis Cost models and ROI analysis HR data
13	Recommendation	Selects and describes the reason for the selection of the option	<ul style="list-style-type: none"> Selected an option Explain why that selection was made 	<ul style="list-style-type: none"> Options table
14	Stakeholder engagement list	A list of stakeholders that have been engaged during the analysis	<ul style="list-style-type: none"> N/a 	<ul style="list-style-type: none"> List stakeholders
15	Bibliography	A list of documents (or sources of information) that have been used for reference during the analysis	<ul style="list-style-type: none"> N/a 	<ul style="list-style-type: none"> Document repository Data storage location/name
16	Change register	Informs changes to the document as reviews take place	<ul style="list-style-type: none"> What change took place Why that changes was required Who made/proposed that change 	<ul style="list-style-type: none"> Communications evidence Draft reviews

			<ul style="list-style-type: none"> • The date the change was made • The new version reference for the document 	
Section B - Readiness for Service				
Purpose	This element ensures that all proper considerations have been given to change the service, including people, process, technology, contracts, and measures. It is designed to guide the user to ensure all essential thinking has been done prior to making a change happen. This framework covers both internal change and any change to services that may engage a third party or external supplier.			
1	Change validity	Seeks to answer if the change being proposed is still valid, and if the Business Case and associated benefits till remain intact and accurate.	<ul style="list-style-type: none"> • Is the case for change still valid? • The case is unaffected by any events that has occurred since it was completed? • Are the business benefits still deliverable? • Has the risk profile remained static or reduced? • Have any changes occurred that impacts the validity of the proposal? 	<ul style="list-style-type: none"> • Section 1 business case for change • Benefits table or reference • Risk register • Council meeting minutes
2	People	Ensures that our staff have been properly engaged and have the correct information at their disposal. Ensures that HR process issues have been satisfied	<ul style="list-style-type: none"> • Are the staff that will be impacted engaged with the change process and planning? • Have essential contract issues been addressed with HR? • Has essential notice been given (or planned) • Has the timing of the change been effectively communicated? 	<ul style="list-style-type: none"> • Job Descriptions • TUPE information • Pension analysis • Evidence of staff engagement • Employment contracts

			<ul style="list-style-type: none"> • Have the Team met key stakeholders? • If TUPE arrangement(s) apply, has the process been formed and executed? • Has any pensions risk been mitigated? • Has any remuneration ceiling or constraint been addressed? 	
3	Process	Ensures that process connect between parties to protect and/or enhance ways of working	<ul style="list-style-type: none"> • Plans for managing the working relationship exist for both parties? • Process level connectors are in place and have been tested? 	<ul style="list-style-type: none"> • Operational or implementation plans • Management reporting framework • Process documentation
4	Technology	What technologies will be required, will changes in licensing be needed.	<ul style="list-style-type: none"> • Is the technology map up to date? • Have licensing issues ben resolved? • Has any new software requirement been implemented, or is implementation planned? • Has a transition plan been completed? 	<ul style="list-style-type: none"> • IT asset information • Licensing records • Budgets and payments • Process documentation
5	Assets	Seeks to ensure that any asset transfer is understood, and costs are agreed.	<ul style="list-style-type: none"> • If assets are to transfer have costs been agreed? • Is this element of agreement contained in the contract? • Is there evidence that the new supplier has sufficient funding to pay for the asset(s)? is it evidenced? 	<ul style="list-style-type: none"> • Asset register • Finance records • Contract terms • Loan terms (if this applies)

			<ul style="list-style-type: none"> Does any residual liability exist? And if so what controls are agreed to mitigate them? 	
6	Contracts	If the service is moving to an external arrangement this section seeks to ensure that contractual issues have been designed and addressed	<ul style="list-style-type: none"> Have contract arrangements been agreed and completed? Are operational arrangements in place? Have measures been agreed, and more formal data collection been implemented? Have prerequisite insurance been sought and implemented? Does the legal advice agree that the contracts are robust and can be executed? If supply or service contracts are to be transferred, do they have sufficient flexibility? 	<ul style="list-style-type: none"> Contracts Contract registers Management information frameworks Insurance policies Legal advice
7	Risk	This section seeks to ensure that risk is managed	<ul style="list-style-type: none"> Has any insurance or residual liability been mitigated? All parties have plans to mitigate the risk? Does a risk management process exist with any associated governance engagement? Is the risk of implementation being 	<ul style="list-style-type: none"> Policy framework Risk register Testing outputs Project management documentation

			managed? Can this be evidenced?	
8	Business continuity	Section to cover the associated controls to ensure that business continuity is maintained.	<ul style="list-style-type: none"> Do business continuity plans exist? Is there evidence that they have been tested? Are the triggers for the BC plan understood and thresholds agreed? 	<ul style="list-style-type: none"> Business continuity plans Testing plans Risk register Audit reports
9	Regulation or legislation	Seeks to ensure that any requirements have been investigated and agreed.	<ul style="list-style-type: none"> Does the change require any regulatory process changes or mitigations? And if so are they planned or executed? Does the change require any legislative process changes or mitigations? And if so are they planned or executed? 	<ul style="list-style-type: none"> Legal advice Service advice Regulatory frameworks legislation
10	Implementation management	Confirm that all parties have agreed plans for training, communication, roll-out, production release and support as required	<ul style="list-style-type: none"> Was any testing (technology, physical, process or people) required? If so, can we evidence that the testing has been completed and that the results are satisfactory? Are training plans completed? Is there a communication plan and can we evidence its efficacy? Were any previous actions required (from the business case) been implemented? 	<ul style="list-style-type: none"> Implementation plan Training evidence/plans Communication plans Previous change plans/evidence Stakeholder map Organisational structure charts Operations plans Service plans

			<ul style="list-style-type: none"> • Do the parties have plans that set out the changes, stakeholders, and timing? • Does a management process for overseeing the change exist? • Do organisational structures and controls exist to manage the change delivery? • Has any residual service (or part thereof) or process element been considered, and if so have arrangements been made to protect residual business continuity? 	
11	Governance	Seeks to ensure that proper approvals have been, and/or will be sought prior to the change being finally agreed	<ul style="list-style-type: none"> • Evidence to support essential approvals is in place? • Evidence that feedback from key stakeholders has been sought and considered? 	<ul style="list-style-type: none"> • Council meetings minutes • Council approvals or submissions timetables • Portfolio holder support/evidence • Change register(s)
12	Lessons	Sets out lessons learned to improve the transfer process	<ul style="list-style-type: none"> • Are there lessons from this process that should be applied to future change? • Has agreement been sought to modify the framework of change to include them for the next change? • Has the change to the framework been made and a new version issued? 	