

# Introducing New Operating Models for Local Government



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Nesta is an innovation foundation. For us, innovation means turning bold ideas into reality and changing lives for the better. We use our expertise, skills and funding in areas where there are big challenges facing society. Nesta is based in the UK and supported by a financial endowment. We work with partners around the globe to bring bold ideas to life to change the world for good.

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## About Collaborate

Collaborate CIC is a social consultancy that helps public services collaborate to tackle social challenges. We are values-led, not for profit and driven by a belief in the power of collaborative services, organisations and systems as a force for social and economic progress. We create partnerships that get beyond traditional silos to deliver credible change on the ground, working with partners and places across the UK. Our clients and partners span local government, the NHS, civil society and the private sector. Get in touch if we can help you via [collaboratecic.com](https://collaboratecic.com)

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# About the New Operating Models Handbook

'Introducing New Operating Models for Local Government' is the first part of the New Operating Models Handbook, a set of learning products which explore the new operating models emerging in local government – how they work, what they look like and the key features needed to promote success elsewhere. It draws on the experience of the twenty pioneering Local Authorities participating in the Upstream Collaborative, which was led by Nesta in partnership with Collaborate from 2019 to 2020. The Handbook is made up of six parts:

## **Introducing New Operating Models for Local Government**

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### **From the Margins to the Mainstream:**

How to create the conditions for new operating models to thrive

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### **Reframing Risk:**

How to adopt new mindsets around risk that enable innovation

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### **Asset-Based Community Development for Local Authorities:**

How to rebuild relationships with communities through asset-based approaches

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### **Meaningful Measurement:**

How a new mindset around measurement can support a culture of continual learning – notes from the field

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### **A Catalyst for Change:**

What COVID-19 has taught us about the future of local government

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"Imagine yourself walking up a river with a group of friends. Suddenly you see a baby in the water and so you dive in to save the child. But as you rescue one baby you see another, and after a while you are busy picking one baby after another out of the water. Then one of your friends gets out of the water and starts to walk upstream. You shout, 'Hey, where are you going? We've got all these babies to save.' But she replies, 'I'm going upstream to find out who's throwing babies in the river.'"

Traditional story retold by Dr Simon Duffy, 'Heading Upstream: Barnsley's Innovations for Social Justice'<sup>1</sup>



# 00.

## Executive summary

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**The decisions made by councils directly affect the fabric of the places and the nature of the communities in which we live. But ten years of austerity, combined with other complex, interconnected challenges, have demanded that local authorities change the ways they operate in new and inventive ways.**

Across the country, beacons of innovation have appeared as local authorities experiment with different ways to address the complex challenges their communities face. The work of these councils signals a broader shift in the delivery of public services, demonstrating how we can face the challenges of the coming decade. But in order to realise this potential and catalyse a wholesale shift in our approach to public services, we need to enable and support the pioneers to learn from and accelerate each other's work, influencing and recruiting others.

Over the past year, we have worked closely with the Upstream Collaborative, a group of practitioners and partners from twenty pioneering local authorities, who are all delivering initiatives that can be classified as working 'upstream'.

These initiatives move attention and resources upstream of service delivery, focusing on creating the economic, social and community conditions that enable citizens to thrive.

This paper, co-authored by Nesta and Collaborate, draws together insights and learning from the experiences of the Upstream Collaborative members. It presents a framework for understanding the new operating models being utilised, based on the common features observed across the Collaborative.

We also explore some of the challenges and opportunities the pioneers face in re-architecting their operating models in order to head upstream of service delivery to tackle the causes of demand.

In response to these challenges, we will introduce a practitioner's handbook from the Upstream Collaborative members which seeks to help others grasp the opportunities of adopting new operating models in local government in the coming years.

We hope this learning will not only articulate the new operating models we have observed emerging within pioneering local authorities, but also show how this movement can be supported and accelerated in the coming years.

# 01.

## Introduction:

# The role of local government and local government innovation

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**The work of local government is fundamentally important. Councils are the primary provider of numerous essential services, and their work touches the lives of everybody, every day, whether we realise it or not. In many respects local government, woven as it is through our day-to-day experiences, embodies the closest relationship between citizen and state. From providing a safety net for children unable to be cared for by their families to supporting those facing homelessness, councils influence housing in the rental sector, maintain local infrastructure, support businesses and the local economy, nurture public green space, support schools, run libraries and provide those all important bin collections and parking permits.**

## 1.1 The innovation imperative for local government

A decade of austerity-driven budget cuts from central government has meant huge losses for councils across the country, with obvious consequences for the services they can provide, something that has been thrown into stark relief by the COVID-19 crisis. The decline in income from central government came alongside a growth in urgency of many other challenges: rising demand, changing expectations, ageing populations, the rapid rise of new technologies, large scale shifts in our economies, changes to the way we work and existential threats such as the climate crisis. These complex, interconnected challenges have demanded that local authorities respond in new ways.

Across the country beacons of innovation have appeared as local authorities experiment with different ways to address the complex challenges communities face. Among the most ambitious and highest potential initiatives are those that aim to tackle the underlying causes of social problems by heading 'upstream' to create the economic, social and community conditions for both people and place to flourish. Or, put simply, initiatives designed to solve problems before they happen.



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## 1.2 How did we get here?

While the consensus on the best way to deliver and organise our public services continuously evolves, a crude characterisation of the approach to local public services in the period 2000 to 2010 would present it as predominantly technocratic and managerial, still heavily influenced by the long-tail of new public management (NPM). Peter Gershon's 2004 Efficiency Review, with its focus on savings driven by blunt management tools such as targets and KPIs, was emblematic of the decade's philosophy. The professionalisation of civil society, the primacy of 'what works' and the introduction of consumer choice principles in the 1990s further changed the complexion of public service delivery.

But by the end of the noughties, a new set of ideas were already challenging this status quo even before austerity gave further impetus for change. This wave of ideas and innovations promised not just to deliver better outcomes for citizens and communities, but to do so in a way that was more cost-effective too.

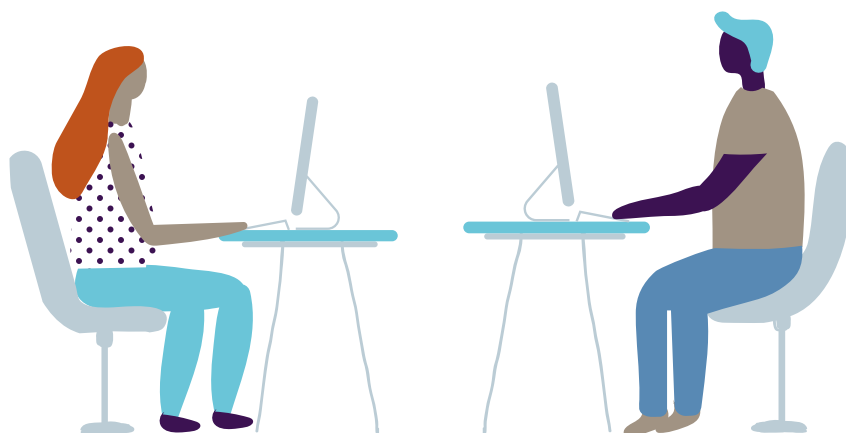
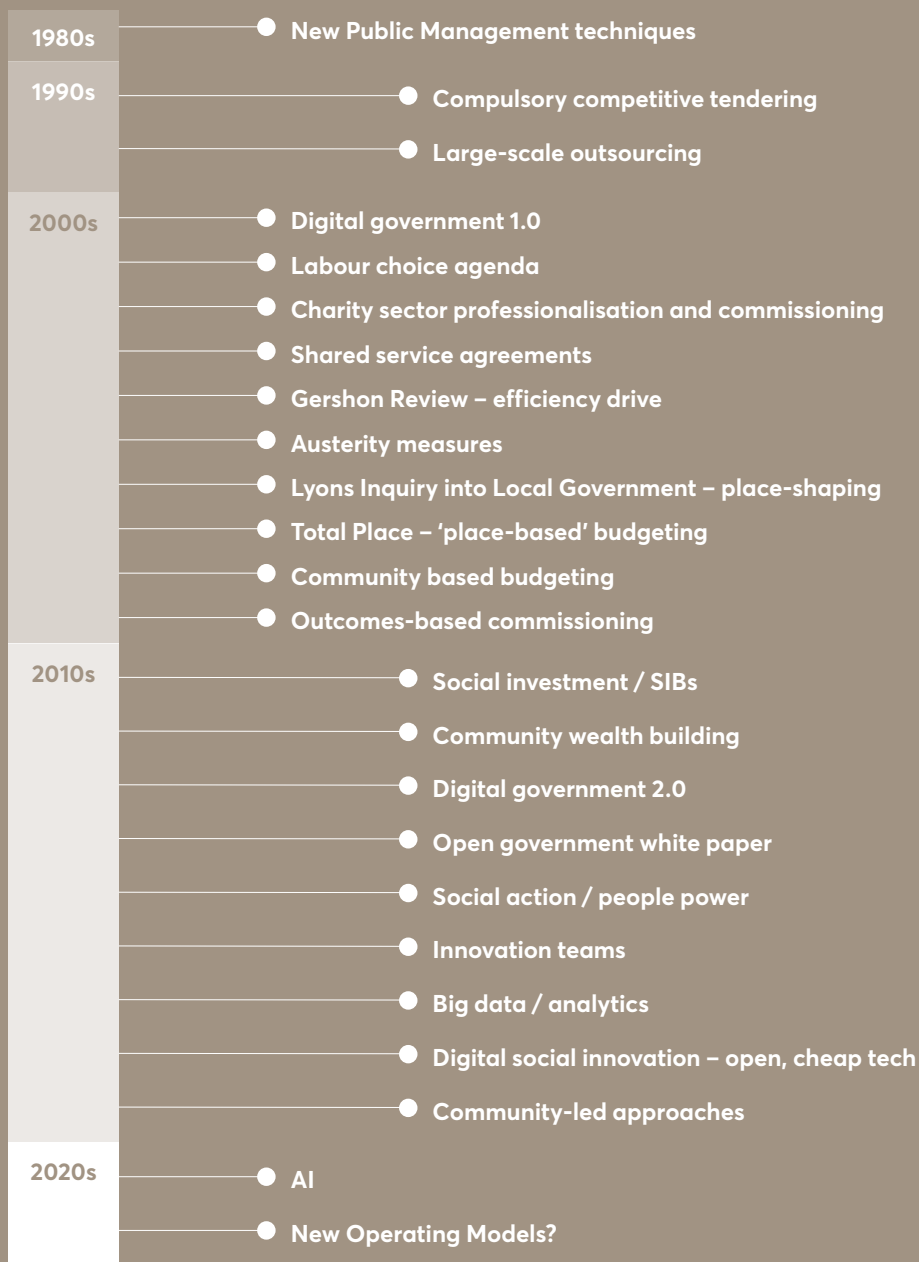


Figure 1: Selection of public service trends, reform and innovation 1980s–present, Nesta (April 2020)



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The final [report](#)<sup>2</sup> of the Commission on 2020 Public Services – a major inquiry into the future of public services – was launched a decade ago in the summer of 2010. It set out the broad trajectory of the last ten years-worth of public service innovation, based on working in partnership with citizens, families and communities to achieve improved social outcomes.

In addition, concepts such as social value helped to shift market-oriented approaches, and new technological advances presented both opportunities for digital transformation and a change in citizen expectations about service quality.

Ten years on, many local authorities have been developing these trends further by experimenting with, implementing and embedding new approaches. Preston City Council is democratising their local economy through community wealth building, ensuring their citizens benefit from the wealth created in the place; Barnsley Council has pioneered structural changes to enable and encourage citizen action; and City of York Council is creating positive health outcomes through civic engagement and relationship building.

The work of these pioneering councils signals a broader shift in the delivery of public services. It is nascent, and taking place in a context challenging to innovation at a local level – ongoing austerity, a highly centralised government model, powerful regulators, complex tiers of local government, and the necessity of translating the political will of elected members into activity on the ground.

These ‘signals in the noise’ are powerful indicators of how we can face the challenges of the coming decade. But the question remains: how can we realise their potential and catalyse a wholesale shift in our approach to public services?

### 1.3 Our interest in new models of public service

Over the last decade, Nesta has been making the case for a radical reimagining of the relationship between citizen and state. A relationship that redistributes power, with public services playing new roles within an ecosystem that embraces communities and families as partners in finding better solutions to complex challenges. We know there is no shortage of compelling new models for public services, having worked alongside inspiring social innovators and public service practitioners in programmes such as [People Powered Health](#)<sup>3</sup>, [Creative Councils](#)<sup>4</sup>, [People Powered Public Services Fund](#)<sup>5</sup>, [Sharelab](#)<sup>6</sup> and [Good Help](#)<sup>7</sup>. Over the years we have explored how to move from a series of compelling but isolated examples to a state where these practices are mainstream.

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At the same time, Collaborate has been developing a set of powerful insights into the changing nature of local government through their work with pioneering councils and public service organisations. Along with a growing body of work from leading organisations including New Local Government Network (NLGN), RSA, Centre for Public Impact and many others, there is evidence of a growing movement for change.

To build and accelerate this movement three things are necessary:

- Providing an environment for practitioners to collaborate, learn from and support one another, and share their learning with the wider field.
- Identifying the policy and organisational conditions needed for new models to work in practice.
- Developing a coherent, unifying narrative to bring these ideas and innovations together and understand how to apply them.

## **1.4 Introducing the Upstream Collaborative**

To address these needs, Nesta launched the Upstream Collaborative, an active learning network for local government innovators, in partnership with Collaborate. Over the past year, we have been working closely with practitioners and partners from twenty pioneering local authorities from across the country who are all developing approaches born of a new understanding of local government's role and purpose and how that changes how it operates.

Figure 2: The Upstream Collaborative member councils




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**Barnsley Metropolitan Borough Council**

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**Cambridgeshire County Council**

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**Denbighshire County Council**

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**Derbyshire County Council**

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**Gateshead Council**

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**Gloucester City Council**

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**Greater Manchester Combined Authority**

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**Huntingdonshire District Council**

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**Kirklees Council**

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**Leeds City Council**

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**London Borough of Barking & Dagenham**

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**London Borough of Newham**

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**London Borough of Redbridge**

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**Oldham Council**

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**Oxfordshire County Council**

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**Preston City Council**

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**Redcar & Cleveland Borough Council**

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**Staffordshire County Council**

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**Surrey County Council**

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**City of York Council**

These twenty local authorities represent a broad spread of places across England and Wales, a diversity of political affiliation, and include county councils, unitary authorities, district councils, and a combined authority. They were all recruited on the basis of current initiatives that are moving attention and resources upstream of service delivery to focus on creating the conditions for better outcomes for and with communities.

Through the Upstream Collaborative we aimed to:

- **Create an action learning network** through which local authority innovators can build relationships and explore the role they play in identifying, enabling, growing and disseminating innovative responses to complex upstream social issues.
- **Identify the common features** of these new ways of operating and offer practical guidance on how they can be scaled further, both within and across local authorities.



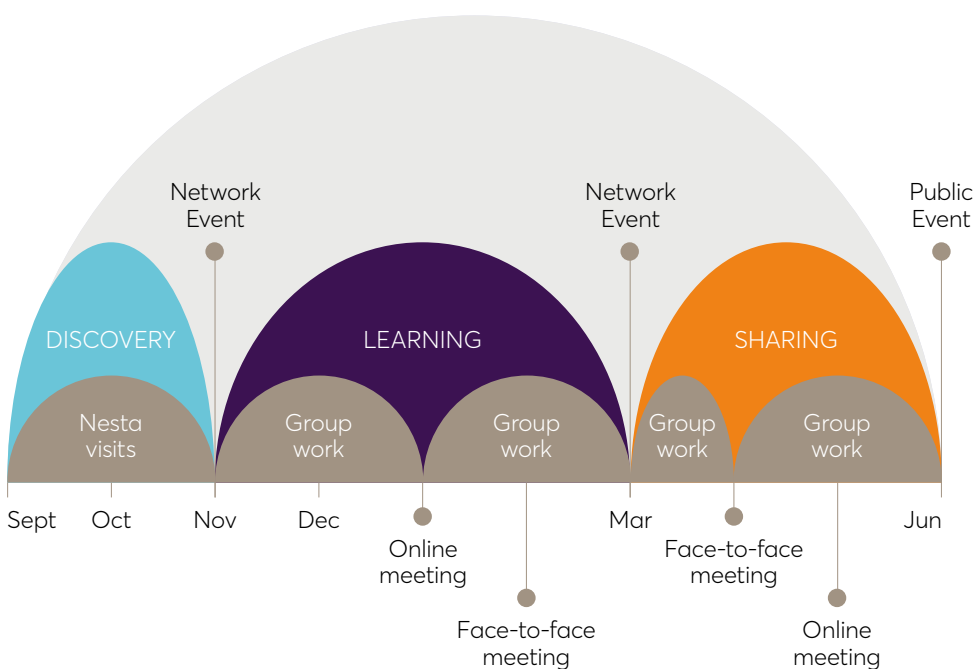
## 02.

# The Upstream Collaborative: learning from pioneering practice

### 2.1 What did the Upstream Collaborative do?

The Upstream Collaborative ran from September 2019 until September 2020, bringing together a group of senior strategic council officers and their partners to share experiences and learn from each other. Together they have explored what works and what doesn't, building a shared movement of local government leaders experimenting with new operating models to deliver upstream innovations.

Figure 3: Programme timeline



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The programme followed three phases:

- **Discovery:** We visited each team to learn more about their work and identify the drivers, barriers and enablers they have experienced as they innovate. Having aggregated the collected data we then analysed it and identified patterns and commonalities.
- **Action learning:** We brought the Collaborative together for a two day residential workshop, enabling members to connect, give and receive support and develop an understanding of how their work fits in the wider system. They formed workgroups around themes of common interest, committing to work together to develop their understanding and produce a shareable asset that would be useful for peers in the Collaborative and more widely.
- **Sharing:** The Nesta/Collaborate team used the insights from the discovery phase to develop a draft of the New Operating Models Framework, which we shared and discussed with the Collaborative and wider field at a series of online roundtables in April 2020. Supported by Collaborate and CPI, the workgroups drafted ideas, iterated and blogged about the project. It is the output from this work that we are sharing as the New Operating Models Handbook.

The fast-moving nature and unprecedented scale of the COVID-19 crisis required the full attention of most of our members during March and April, reshaping the final phase of the programme. Yet it has undoubtedly shone a light on the challenges councils are facing and how their operating models can help or hinder their responses.

In response to this we pivoted our research approach, working with the Upstream Collaborative to explore the implications of COVID-19 on their ways of working. We are publishing this insight in the paper [‘A Catalyst for Change’](#). But the impact of the pandemic means that questions about how social problems and systems are evolving, how we draw on collective resources to tackle complexity, and how councils need to evolve in order to deliver upstream innovations effectively are more urgent than ever.



## 2.2 A snapshot of the Upstream Collaborative councils and their work

The Upstream Collaborative members were selected based on current initiatives that move attention and resources upstream of service delivery to focus on creating the economic, social and community conditions that enable citizens to thrive. Each local authority was at a different stage of their journey – some had been developing their approach over many years, some were just starting out. The initiatives were also highly varied but shared common features, such as partnership working, connection to a wider transformation programme, high degrees of localisation, a focus on individualised outcomes and smart use of data.



### Barnsley

Barnsley Metropolitan Borough Council has pioneered changes in the structure of the council to enable and encourage place-based citizen action – in particular evolving the role of elected members to become effective community leaders and devolving commissioning decisions to a local level.



### Denbighshire

Denbighshire County Council is using a multi-agency, asset-based approach to create long term, sustainable improvements in community safety and cohesion, health, education, skills and jobs for residents and business owners in Rhyl, the biggest town in the county.



### Cambridgeshire

Cambridgeshire County Council's Best Start in Life approach promotes radically new relationships with families, supported by a more connected and autonomous workforce across education, early help and maternity and community health, and underpinned by an IT system which enables different workforces to use the same shared records.



### Derbyshire

Derbyshire County Council's Thriving Communities approach seeks to enable local people to lead bigger and better lives. An accelerator in a small community is currently testing and refining the model prior to adoption and mainstreaming. Thriving Communities sits at the heart of the Council's transformation journey.



### **Gateshead**

Thrive in Beacon Lough East is the third phase of Gateshead Metropolitan Borough Council's Public Service Reform programme. The aim is to learn how to rebuild the public service and wellbeing ecosystem from the community outwards, by working on a housing estate with high levels of need in deep collaboration with local people and partners across all sectors.



### **Greater Manchester**

The Greater Manchester Model of Unified Public Service is the culmination of a range of innovative reform and transformation work covering cultural and structural issues, the relationship with citizens, role of organisations and whole system reform. The aim is to create an integrated system which delivers better outcomes for people through a single programme of reform across all disciplines.



### **Gloucester**

Community Building has been a focus for Gloucester City Council since 2012. They have now established an independent company to deliver the activity, ensuring it will be culturally free from the deficit-based model of service provision, allowing partners to work collaboratively across silos, think longer term and enable communities to be in the driving seat.



### **Huntingdonshire**

Huntingdonshire District Council's Oxmoor Community Project focuses on a single estate that receives significant public sector spend. The aim is to radically change the delivery model through collaborative working and co-location with partner agencies. The work is supported by insight from a new community data portal, providing a single tool for all agencies to quantify demand.



### Kirklees

Kirklees Council's Local Integrated Partnerships is an umbrella for a range of initiatives testing out working upstream. Using place-based working, they will create a coherent early intervention and prevention approach for adults, children, young people and families, putting people, not services, at its heart.



### Barking & Dagenham, London

London Borough of Barking & Dagenham has restructured around people, place and its goals, moving away from functional departments and directorates to better meet the aspirations and needs of residents. Their place-based prevention and wellbeing prototype tests how to support people through a more intelligent use of data, strengths-based approaches and maximising individual and community assets.



### Leeds

Leeds City Council is embedding and proliferating its use of Asset-Based Community Development and asset-based social care approaches to help people thrive in all communities. Having started with three pilot sites and extended out to twelve, they are now exploring how to mainstream the approach across the city.



### Newham, London

London Borough of Newham is using a Community Wealth Building approach to address work insecurity and in-work poverty, moving from growth to 'good growth'. Active labour market policies, worker support and empowerment, enforcement, and upskilling programmes all help tackle chronic low wages in the borough.



### Redbridge, London

London Borough of Redbridge is putting public services at the heart of communities through a new programme to develop locality hubs. These new, purpose-built facilities will bring council services, community groups and partners together in easily accessible locations. Designed in partnership with residents, the hubs will enable the development of new service models.



### Oxfordshire

The Community Impact Zone is a partnership of Oxfordshire County Council, Oxford City Council and Thames Valley Police, who are pooling data and resources for the benefit of the community. The team is working with the Oxford Hub to create opportunities for families and young people in targeted 'micro-neighbourhoods' in East Oxford.



### Oldham

Oldham is creating integrated, multi-agency teams physically based within communities. This builds on previous work, bringing together many teams into big hubs co-located under shared leadership. The hubs will work with people who need more than universal services, but aren't in crisis.



### Preston

UK pioneers of Community Wealth Building, in which a new local economic model ensures local people benefit from the wealth created in the place.



### Redcar & Cleveland

Driven by a desire for a more compassionate approach, Redcar & Cleveland has developed a key worker model to help individuals with complex issues improve outcomes, transform lives and reduce the need for statutory service intervention.



### Surrey

Surrey County Council is working with the local health system to design and prototype an integrated approach to health and social care that is more effective in meeting local people's needs and preventing them from escalating.



### Staffordshire

Staffordshire County Council's #DoingOurBit is a core organisational philosophy designed to set up a new relationship with residents. The 'People Helping People' Fund enables elected members to invest in related projects within their local communities.



### York

City of York's 'People Helping People' initiative addresses health inequalities and achieves positive health and wellbeing outcomes through inclusion, civic engagement and relationship building.

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## 2.3 Common threads: learning from pioneering practitioners

Through in-depth interviews and workshop exercises we captured the drivers, enablers and barriers experienced by the members of the Collaborative. Although each of the participating councils is working on different issues in different ways within their own particular context, there is much commonality.

### 2.3.1 What is driving change?

- **Wanting to do the right thing by local people.** Working in new ways isn't purely driven by money saving considerations: there is a strong moral underpinning to much of this work. Councils shared repeatedly that these new ways of working are simply "the right thing to do" and are driven by wanting people to live happier, more fulfilling lives. This is underpinned by a common belief within many councils that the status quo is ineffective and unsustainable.
- **Financial savings** are still an important driver. After years of austerity, many of the obvious savings to public service budgets have already been made, leaving Local Authorities few tried and tested options. There is a sense that despite its many challenges, austerity created a 'burning platform', opening up a creative space for experimenting where there is little left to lose.
- **Changing leadership creates an impetus for further change.** New leaders (officials and elected) often create a cascade of changes to the organisational strategy, structure and culture from the top.
- **Demand.** Powerful narratives for change are now helping people communicate this relational and emergent work more clearly, particularly inspired by work such as Hilary Cottam's [Radical Help](#)<sup>8</sup>, NLGN's work on the [Community Paradigm](#)<sup>9</sup>, Nesta's [Good Help Bad Help](#)<sup>10</sup> and Collaborate's [work](#)<sup>11</sup> on complexity with Toby Lowe. Practice has also influenced policy from the ground up, as we see through the increasingly strategic adoption of Asset-Based Community Development.
- **Appetite.** In some local authorities change is being driven from the top, sanctioned and directed by the Members, Chief Executive and senior leadership. In other instances lack of stability in the senior leadership team is actively inhibiting change. For others, distraction within the executive team has left a gap in which new modes of operating have been able to emerge. It seems likely that those initiatives with the highest levels of senior support are most likely to drive a shift in organisational behaviour.

# 03.

## A blueprint for the future of local government

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### 3.1 Introducing the New Operating Models Framework

Upstream initiatives are architectural innovations. To deliver them effectively at scale requires the adoption of new operating models.

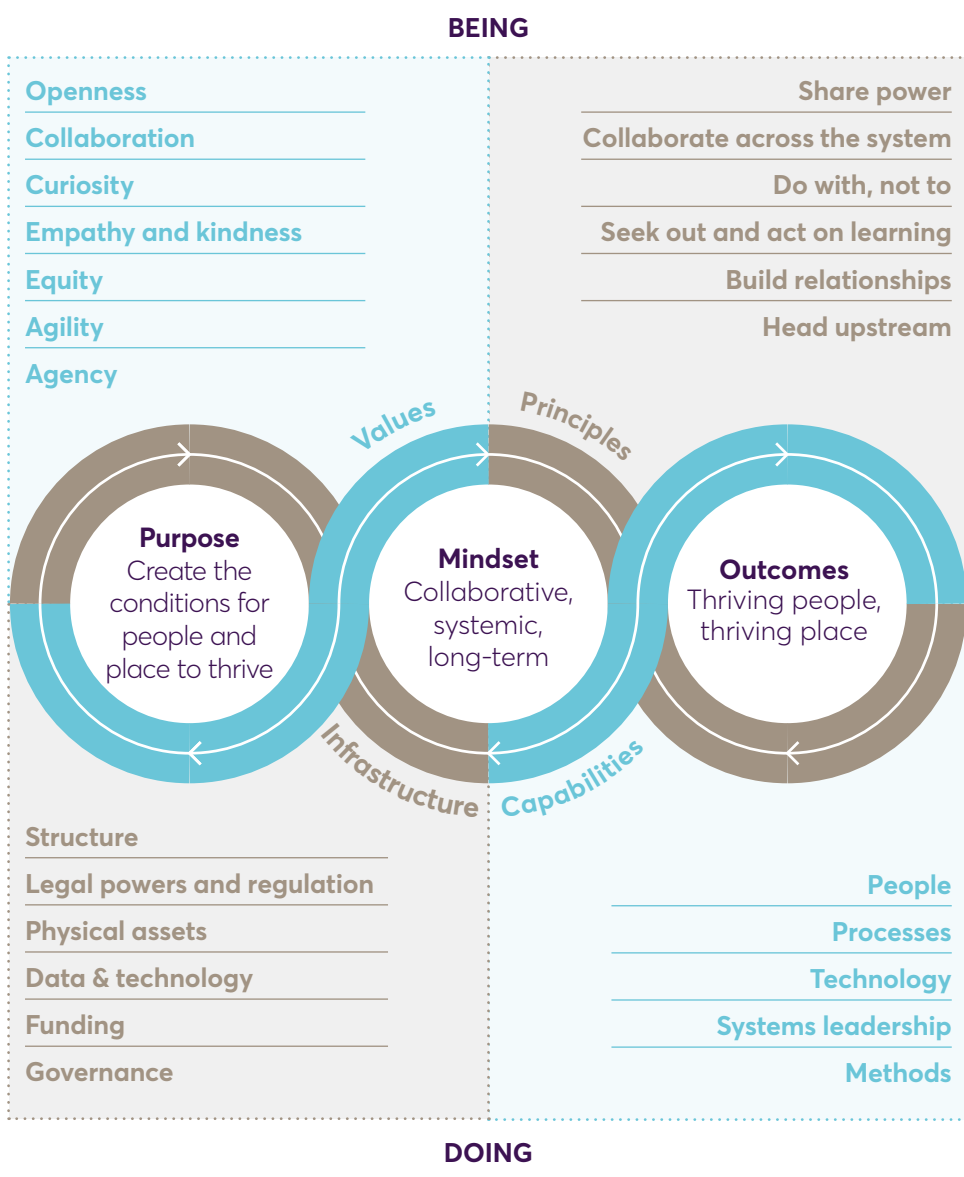
New operating models are simply a blueprint of a new way of working for local authorities that acknowledges the complexity and interconnectedness of social issues and the people and organisations that aim to tackle them. The blueprint has been codified through observing what is happening on the ground in local authorities and the communities they aim to serve.

From our research with the members of the Collaborative, alongside work from the wider field (see Appendix), we have seen that this blueprint emerges from common features including:

- A renewed **sense of purpose** orientated around thriving communities and places.
- A focus on **moving upstream of social and economic challenges**, creating conditions in which people and places thrive and responding to signs of need early, rather than focusing on reacting to crisis.
- Acknowledgement of the **complexity and interconnectedness** of social issues.
- A **collaborative approach to change** in which local government acts through relationships and trust and seeks to build a sense of shared purpose across a place-based ecosystem of organisations and sectors.
- A new understanding of local government as **an enabler of, or platform for, the action of citizens and partners** as well as an actor itself to achieve that shared purpose.
- A view of **public services as porous**, collaborating with people, communities and partners to improve outcomes, responding to people's strengths as well as needs and guided by understanding, not assessments.
- The creation of **learning cultures and practices**, experimentation and adaptation.

This insight has informed the development of a framework to characterise what new operating models look like in practice (see Fig 4). The framework draws together the common characteristics and qualities outlined above. It also incorporates the often ‘hidden’ qualities which underpin this work such as mindset, values and behaviours, alongside new practical capabilities and enabling infrastructure.

Figure 4: New operating models for local government (v2), Nesta (July 2020)





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The New Operating Models Framework is not linear. People working within a new operating model prioritise learning, adaptation and [evolution](#)<sup>12</sup> in pursuit of achieving their outcomes. New operating models therefore allow for change within the system to occur and for the system as a whole to adapt and evolve as necessary over time.

New operating models don't completely reject and replace the tools and approaches of the past decades, but are often overlaid on top of existing operating models where both systems continue to coexist. These new approaches are, however, starting to become more embedded and as they do so may supersede the legacy model.

### **3.1.1 Purpose**

Purpose is the reason organisations exist and the change or outcomes they are trying to achieve. It guides the role they must play in achieving that outcome.

As Nesta has [previously observed](#)<sup>13</sup>, when the goals and outcomes of the system are in question then systems innovation has to focus not merely on behaviours and means of operating but also on a new purpose. Reconsidering and reframing organisational purpose is at the core of many of the new operating models that local authorities are working to implement.

The purpose of local government in the UK has been subject to renewed debate in recent years, a debate that is becoming even more active in the wake of the COVID-19 crisis. While continuing to fulfil fixed, statutory duties, councils have been reflecting on what local government is for and what its goals should be. This question then leads to another: what new roles should local authorities be playing in their communities to help achieve their goals?

Many local authorities are reframing their purpose, looking beyond service delivery and putting people and communities at the heart of the change they are working to create. The role local government plays within a place is increasingly focused on a broader agenda to achieve the purpose of thriving people and places: for example empowering communities, supporting inclusive and 'green' growth, influencing reform in other parts of the public sector and convening and connecting people and organisations in a community to address common challenges. Many councils have worked to develop a new, informal 'contract' with citizens, reframing their mutual responsibilities.

### In practice: Staffordshire County Council



#DoingOurBit<sup>14</sup> is a long-term commitment to work differently with the people of Staffordshire to tackle the challenges they face and make Staffordshire an even better place to be. The aspiration is to learn from the example set by Wigan<sup>15</sup> and Oldham<sup>16</sup> and have honest, collaborative conversations with residents, shifting control and influence to enable SCC to look at prevention in a different way. It represents a fundamental shift from the corporate narrative.

#DoingOurBit seeks to inspire and encourage all residents to think about what more they can do to help themselves, those around them, and the places they live by taking small actions that, cumulatively, will make a big difference.

The organisational purpose is fundamental to the way the new operating model works, the principles it guides itself by, the way it uses assets within the systems and the relationships it builds.

#### 3.1.2 Mindset

A distinguishing feature of new operating models is a move away from thinking about public service redesign in narrow terms. Mindset is at their heart, reflecting that it is people's thoughts and beliefs that underpin how they act. As [others](#)<sup>17</sup> have also argued, viewing government as a delivery system that can be optimised misses something fundamental about public services – the underlying values, beliefs and assumptions.

Mindset is therefore one of the often 'hidden' or implicit qualities which underpin this work, alongside new values and behaviours, new practical capabilities and enabling infrastructure.

From Nesta and Collaborate's [experience](#)<sup>18</sup> of working with thousands of public service innovators, we have seen that mindset shift is one of the reasons that new operating models represent a more fundamental change than simply introducing new tools and approaches. The mindset that underpins new operating models is collaborative: it believes that social change requires openness to working with others. It is systemic: it believes that complex problems are influenced by a range of interrelated factors. It is long-term: it believes that public servants must think about long-term impact, not quick fixes. And it is conscious of power: it considers the power held by public servants and how that power can be shared in new ways.

We have described this in the framework as the connection between the values and principles wrapped up in 'being' (how organisations *are*), and the infrastructure and capabilities they use for 'doing' (how organisations *act*).

### In practice: Derbyshire County Council



Thriving Communities is both a desired outcome and an approach to enable people in Derbyshire to lead bigger and better lives.

By working across five local communities to identify challenges and opportunities within the existing system, the programme prototyped new ways of working based on the experiences of families and individuals, frontline staff and partners.

New models of working based around empowered and self-managed teams have emerged alongside a model which reimagines the relationship and closes the gap between communities and the council while delivering improved outcomes, public value and cost savings.

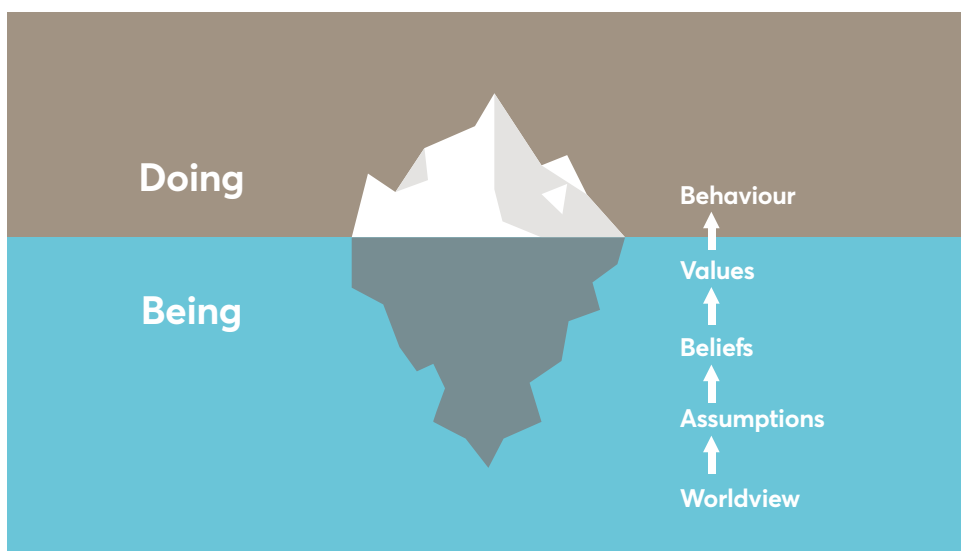
The next phase focuses on adoption and mainstreaming following agreement that Thriving Communities should sit at the heart of the council's transformation journey and recognition that this requires a fundamental shift in culture and system-wide change.

"Thriving Communities relies on getting to know communities well and building up trust, openness and honesty on all sides."

Many of the Upstream members advocate a move towards strengths- or asset-based working, leaving behind the deficit-based model that sees people as having problems that need to be fixed and communities as pockets of demand. Austerity plays into the scarcity mindset which sees resources as finite, setting up competition for them across the system. The move to a strengths-based approach aligns with an abundance mindset – one that recognises that money is only one kind of resource and that communities can be a source of abundance to the system by which their needs are met.

The nuts and bolts of operational strategy are still incredibly important – they are an integral component of new operating models and turn the theoretical into practice. However, thinking around innovation has focused for a long time on operationally optimising for service delivery without taking a step back and examining what values and principles are in play.

Figure 5: Doing vs Being: The Two Levels of Change, Alex Carabi



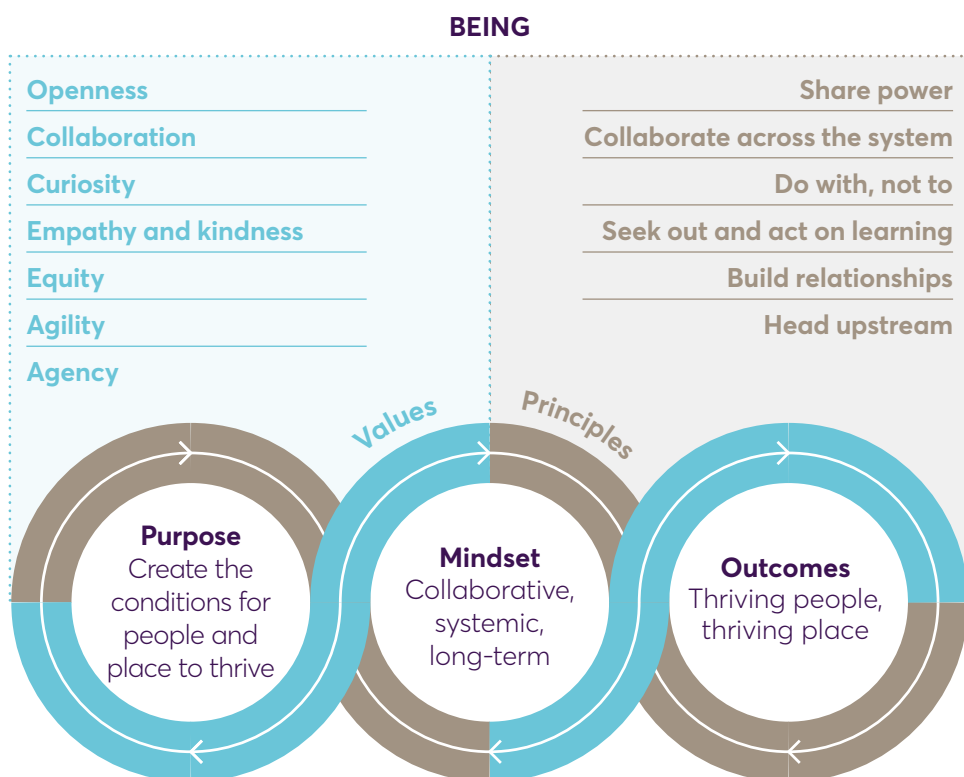
The mindset or worldview behind new operating models informs how the work is delivered and represents 'a new frame, a new story, a new lens through which we view and understand the world [...] and it underpins the way we think about multiple distinct, but related, areas<sup>19</sup>'. These new stories are the fuel moving new ways of working forwards.

It is important to note that this new mindset has not simply replaced traditional public service values like integrity, fairness, value for money or trustworthiness, which continue to play a fundamental role. Instead, these new values and behaviours represent a shift in how local government thinks about serving its communities in a way that is empowering, inclusive, open and collaborative.

Traditional management approaches will not be discarded wholesale. Instead, local authorities are starting to put values-driven approaches at the heart of the operating model: rather than trying to optimise the existing operating model to make it as efficient as possible, they are aiming to build a system underpinned by values and relationships on the understanding that this will achieve better outcomes for everyone.

### 3.1.3 'Being' – values, behaviours and principles

Figure 6: Mindset, Nesta (2020)



New operating models are anchored in a set of values which apply to individuals, teams and organisations. These values encourage a culture of openness, collaboration and learning that is essential to tackling complex social issues in new ways<sup>20</sup>.

The core values and behaviours we have observed are:

- **Openness:** Working openly benefits everyone in the system and encourages learning.
- **Collaboration:** Working together achieves more than any single person or organisation could achieve alone.

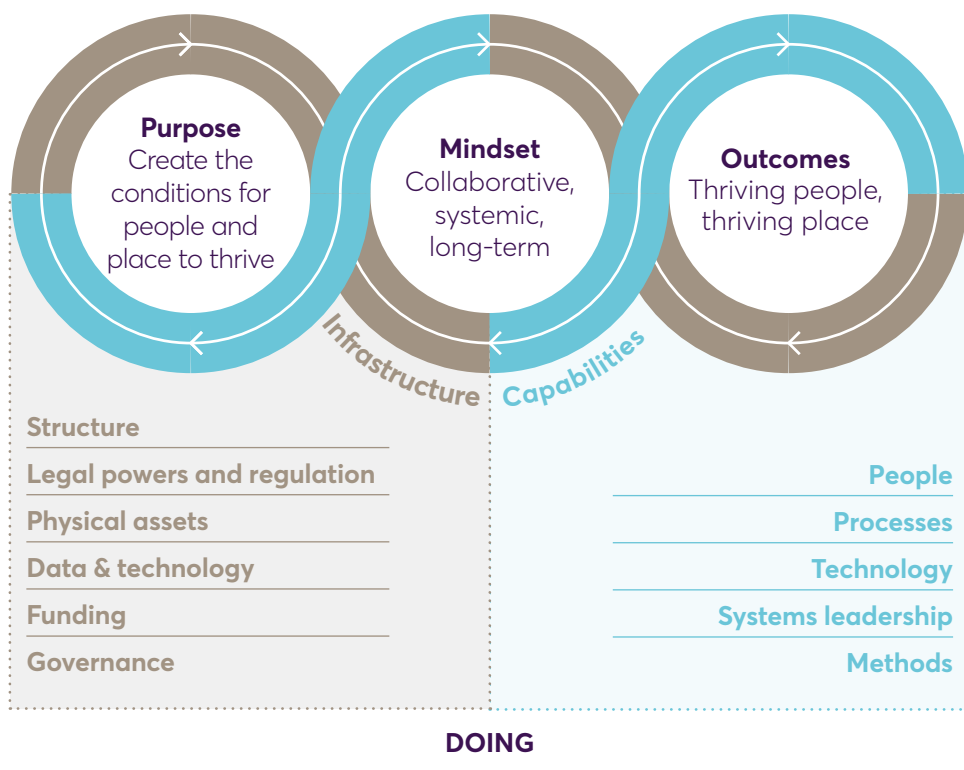
- 
- **Curiosity:** Continuously learning from our own and others' experiences benefits everyone, as does a willingness to experiment.
  - **Empathy and kindness:** Understanding the perspective of others drives more inclusive social change; kindness is at the heart of public services.
  - **Equity:** Actively including a diverse range of voices and experiences creates the collective intelligence needed for better understanding and better decision-making, and takes action towards addressing structural inequalities.
  - **Agility:** Being adaptive and acknowledging that approaches will differ from one case to another and over time.
  - **Agency:** Increasing the capacity of staff, citizens and communities to make their own choices.

These values lead to a set of operating **principles** that can help guide the strategy and action of local government:

- **Share power:**<sup>21</sup> Devolving power to those with the necessary knowledge, who are best placed to act (for example through self-managing teams, distributed structures, empowered communities).
- **Collaborate across the system:** Local government should collaborate across departments and organisations, with partners, business and local communities to address complex challenges and achieve better outcomes for their people and place (for example through multidisciplinary teams, partnership working).
- **Do with, not to:** Viewing people as partners and active participants in shaping their communities rather than passive recipients of public services (for example through participatory budgeting or asset-based community development approaches – see the related paper from this collection).
- **Seek out and act on learning:** Fostering a culture that prioritises learning and embraces risk in ways that balance upside possibilities with organisational risks (see related papers on learning for measurement and risk from this collection).
- **Build relationships:** Building strong relationships across the system based on trust and mutual accountability between public institutions, anchor organisations and communities.
- **Head upstream:** Seeking to understand and address the root causes of problems, acting early and preventing more acute needs; building conditions for people and place to thrive.

### 3.1.4 'Doing' – capabilities and infrastructure

Figure 7: Delivery, Nesta (2020)



The final two components of the New Operating Models Framework describe the capabilities and infrastructure that enable new ways of working to be brought about in practice. They are the more explicit manifestations of the mindset, values, behaviours and principles that guide new operating models: the ways that they manifest in delivery and operation or what councils do.

Sometimes, new capabilities and infrastructure need to be built to support new approaches (for example staff training in asset-based community development, or new collaborative data infrastructure). Other times existing infrastructure and capabilities within local government are simply operationalised differently.

For example, assets, people, data and technology will be used differently if a local authority is trying to empower communities and collaborate with other actors within the ecosystem. In Gateshead, the desire to involve citizens in shaping their

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communities and 'do with, not to' has led to an empowered local community that turned a disused council building into a vibrant hub and contributed to the neighbourhood having one of the lowest rates of antisocial behaviour in the borough.

**Capabilities** refer to the skills and capacities required within local government people and organisations that enable new operating models to come to life. They are the 'software' of new operating models, composed of the people working within the system; their skills and abilities; new technologies; and new methods and approaches. This is made up of:

- **People:** Skills such as collaboration, system leadership, co-production and engagement enable staff to work with colleagues within and without the council in new ways.
- **Processes:** HR processes, including recruiting for lived experience, enables different types of relationships; updated job descriptions and reward systems enshrine required behaviours. Evaluation becomes a tool for learning.
- **Technology:** New forms of technology support and enable collaboration and learning.
- **Systems leadership:** Local authorities play a critical role as place leaders, helping to broker partnerships across the system, invest in communities and strengthen local capacity.
- **Methods:** Tools and approaches such as asset-based community development, co-production or data science enable problems to be approached in new ways (see ABCD paper from this handbook for more information).

If the capabilities are the software of new operating models, the **infrastructure** can be thought of as the 'hardware' or fixed components of any operating model: the legal governance and decision-making structures it has, the assets it owns, the data it collects or the way it generates its revenue. While these elements are obviously not new, within new operating models they can be redesigned or put to use in ways that support new ways of working. They include:

- **Structure:** Defining the shape of the organisation to achieve the desired outcomes according to values and principles.
- **Legal powers and regulation:** The legal right to flex delivery approaches or commission differently, for example, supports innovation; different approaches to regulation orientated towards learning can enable change.



- **Physical assets:** Assets such as buildings can be used by communities for collaborative projects or transferred into community ownership; co-location in shared spaces and hubs can facilitate collaboration and learning among stakeholders.
- **Data & technology:** New and shared data can be used to inform practice, both within organisations and across systems; data can be qualitative and include stories, as well as quantitative.
- **Funding:** Place-based and flexible funding enables new approaches to services and social change; funding for innovation enables experimentation and new approaches to risk; participatory grantmaking, crowdfunding and community shares introduce new ways to engage communities.
- **Governance:** Governance can be orientated towards relationship-building and learning rather than just decision-making and oversight, and can reflect the range of stakeholders involved in practical work, thereby supporting shared accountability.

### In practice: Oxford City Council

Oxford City Community Impact Zone is the result of a partnership between Oxford City Council, Thames Valley Police and Oxfordshire County Council, who are pooling their data and resources to work together for the benefit of the community. By aggregating granular street-level data in innovative ways they have identified community impact zones<sup>22</sup> (or micro-neighbourhoods) in Oxford with high and overlapping inequalities.

The partnership is working alongside the Oxford Hub, a centre for social action and collaboration that can broker authentic relationships with the community. Together they are working with residents to shape activity plans based on their interests and needs, facilitated by dedicated funds and participatory grantmaking.



### **3.1.5 Outcomes**

Many of the councils adopting new operating models are recognising the need for more integrated, preventative and long-term work. As such, there has been a reframing of the way outcomes are understood so that they are focused on achieving the greatest (and often longer-term) benefits for people and communities.

New operating models also recognise that preferred outcomes are not 'delivered' by single projects, programmes or organisations but are the result of many overlapping factors – people, organisations, processes, cultures – interacting together in a system in unpredictable ways. Therefore, in order to produce better outcomes, the collaboration and coordination between these moving parts of the system needs to be more effective, adaptive and responsive. In other words, 'healthy systems produce good outcomes', with individual organisations contributing to success rather than seeking to attribute it to their activity alone.

#### **A note about language and focus**

The New Operating Models Framework visualises the different characteristics that the work of the Upstream Collaborative councils represents without being dogmatic about particular ways of implementing it or bringing it to life. It offers a way of thinking about change in other places without suggesting that there is a direct 'lift and shift' model – it can't just be replicated wholesale from one area to another. The language can prove tricky: the word 'operating' may imply it's all about the implementation, even though the framework emphasises the importance of mindset, values and behaviours, while the word 'model' implies that it can be replicated directly elsewhere.

In reality, developing different mindsets, values and behaviours will require a more organic approach, grown from within through vision, experimentation and learning. This isn't an act of complete reimagining, however, because it is drawn so closely from the real work of the twenty councils. So while we will use the term 'new operating models' for ease and consistency, we also recognise that we are referring to deep shifts in thinking, culture and practice.

There are two further points to acknowledge: firstly, that we have focused on local government. We know there is great richness of thinking and practice in important and related areas: how local government empowers and collaborates with communities, the building of more inclusive and sustainable local economies, new forms of participatory democracy and changes in other public services and sectors. In addition, there was representation from voluntary sector, police and housing association partners within the Collaborative, and the characteristics that the New Operating Models Framework describes are certainly relevant for other

sectors and organisations since the point is for organisations to collaborate. These factors are all relevant, but for the purposes of this paper and in reflection of its origins in the Upstream Collaborative, we have focused largely on local authorities themselves and their perspective.

Secondly, we know that central government has a key role to play in enabling the embedding and proliferation of new operating models, but we focus mainly on what's already happening in local government in these papers since the shift is being driven locally.

### 3.2 Case studies: New operating models in practice

#### Case study 1:

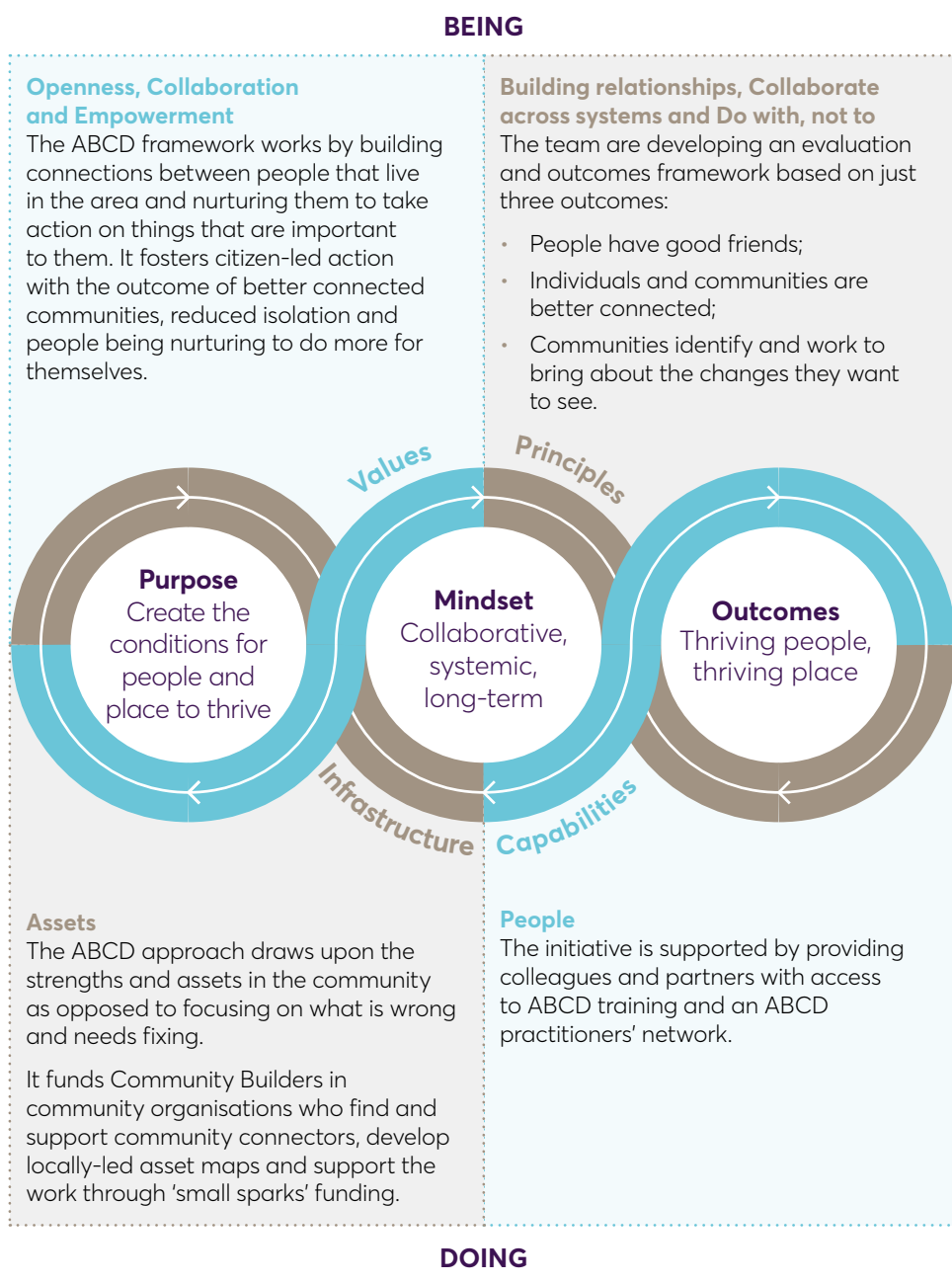
#### Leeds City Council

#### **Proliferating asset-based community development**

Leeds City Council are using asset-based community development and asset-based approaches to identify what communities care about, and what they want to work on together to change, develop and/or sustain. This initiative starts with the citizen, community and family and aims to nurture people who can establish their own groups and support networks to be drawn on throughout their lives. The assumption is that, given the tools and the opportunity, small groups of local residents can change the things they believe need changing in their community better than anyone else.

The team wants to improve outcomes for all in Leeds and in particular those neighbourhoods facing the most challenges and including, but not solely, those with care and support needs.

Figure 8: Leeds City Council – Proliferating asset-based community development, Nesta (April 2020)

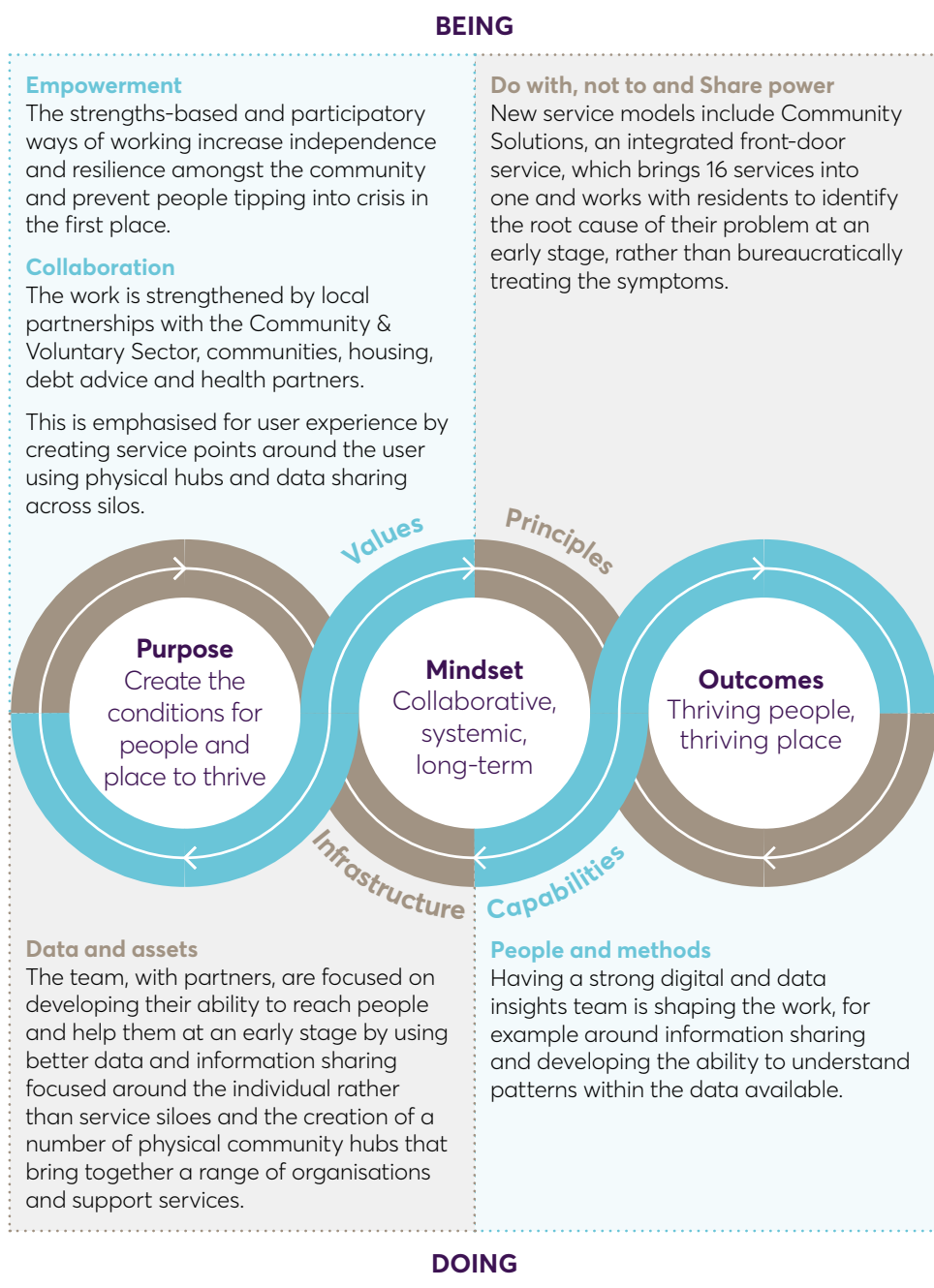


**Case study 2:****London Borough of Barking and Dagenham****Place-based prevention and wellbeing prototype**

London Borough of Barking & Dagenham faces a daunting budgetary challenge made harder by rising demand for public services, especially social care, and a fast-changing and growing population. Their response is radical – to redesign the council, changing their culture and approach to service delivery and commissioning, and focusing on enabling independence and empowering people to help themselves.

The initiative aims to test ways of working that reach people at an early stage and support them through a more intelligent use of data, strengths-based approaches and maximising individual and community assets.

Figure 9: London Borough of Barking & Dagenham – Place-based prevention and wellbeing prototype, Nesta (April 2020)



### **Case study 3:**

## **Gateshead Metropolitan Council**

### **Thrive in Beacon Lough East**

This work forms the third phase of a Public Service Reform programme, with the initial two phases developing the method around person-centred working, using upstream signals as a basis to proactively engage, and building local networks.

The first community project involved Gateshead Council leasing the empty Edberts House on High Lanes estate to a local charity to enable them to support residents more effectively. At the time, the area had the highest antisocial behaviour rates in the borough. Since then, Edberts House has turned into a thriving community hub, creating communal space on the estate where people can take part in activities, enrol in courses or just hang out. It also provides non-clinical support to patients at GP surgeries, contributing to a 24 per cent reduction in participants' GP appointments. Antisocial behaviour has fallen sharply and the area is now seen as a thriving neighbourhood.

Using what Edberts House has taught them, the team are now working on a new hub in Beacon Lough East, a large low-density estate on the outskirts of Gateshead. The people in Beacon Lough East are fed up with antisocial behaviour, feel neglected by services, have uncertain futures and a lack of support. It is a place with a high level of need and is physically well suited to act as a testbed, being geographically distinct.

Through their work on local estates the team are learning how to rebuild the public service and wellbeing ecosystem from the community outwards, working with local people and partners across all sectors.

Figure 10: Gateshead Metropolitan Council – Thrive in Beacon Lough East, Nesta (April 2020)

**BEING**

**Openness**

The initiative came about after a group of residents determined to make their estate a happier, healthier, friendlier place to be, approached Northumbria Police and the council.

**Flexibility**

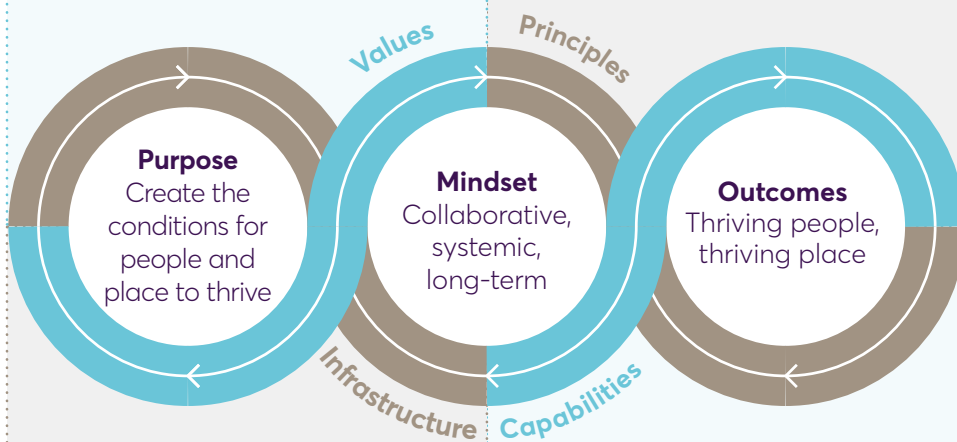
Context is important, and approaches differ case by case. Staff are able to “help people and spend what they need to” as long as it is proportionate, legal, auditable and necessary.

**Learn continuously**

Using what Edberts House has taught the team, further learning will inform not just what happens on the ground but how the wider system works.

**Collaborate across the system**

The work involved a partnership between the community, police, Citizens Advice Bureau, North East Counselling, Edberts House, Larkspur School, the CCG and the council’s Public Service Reform programme.



**Data**

The project will not follow standardised assessment procedures and referrals and will use data-based early indicators (such as council debt) paired with local knowledge to act preventatively and upstream of social issues.

**Assets**

Partners work with residents to redesign and refurbish a council-owned building that acts as a base and drop-in point for development workers, GP community link workers as well as the council team.

**People**

People often face diverse and interlinking challenges. Involving those with expertise in issues such as mental health, benefits or housing can help teams respond to the real causes of people’s needs.

**DOING**



## 04.

# Embedding and proliferating new operating models

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**COVID-19 has fundamentally altered the operating environment for local government and in effect created a highly challenging but unique environment for rapid innovation and change. We refocused our research approach to capture the changes that were taking place in response to COVID-19 and understand what they could tell us about the new operating models being utilised within the Upstream Collaborative. Insights from our research are detailed in the paper which accompanies this series, but for the purposes of this introduction to new operating models, it is important to highlight two things.**

Firstly, councils that were already embracing new ways of working found they were well-placed to respond quickly and positively to the crisis. The mindset, values, behaviours, capabilities and infrastructure described in the New Operating Models Framework were resources they drew on in their COVID-19 response.

Secondly, the COVID-19 environment enabled rapid acceleration of the new operating models in play, and anecdotally demonstrated the value of new approaches to more colleagues within the Upstream Collaborative councils.

It seems clear that the response to the pandemic both strengthens the case for change and offers a further opportunity to propel the transition from one mode of local government to another.

The challenges facing leaders and practitioners in local government in trying to shift the thinking, culture and practice of their organisations is significant. Learning from COVID-19 is a big opportunity, but the prevailing currents still tend to pull organisations back to their previous form. It requires huge energy, ambition and commitment to continue to push forward in a new direction.

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## 4.1 Introducing the Upstream Collaborative's Handbook for Practitioners

During the learning phase of the programme the members of the Upstream Collaborative formed workgroups around themes of common interest that would help them develop their practice further. Together they have created four practice guides for themselves and others to continue to build forward.

The themes for the guides reflect the challenges that practitioners face in deepening and growing their own work. In fact other themes emerged too, but these four proved to be the ones which inspired enough energy and commitment to devote attention to over a six month period. These themes are:

### **From the margins to the mainstream**

How to create the conditions for new operating models to thrive

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### **Reframing risk**

How to adopt new mindsets around risk that enable innovation

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### **Measurement for learning**

How a new mindset around measurement can support a culture of continual learning – notes from the field

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### **Asset-based community development**

How to rebuild relationships with communities through asset-based approaches

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These themes are all enablers of the transition that the New Operating Models Framework describes, and traditional approaches to risk and measurement in particular have proved to be significant barriers to progress for some. However, these themes are not exhaustive as a set of enabling conditions. There are other important enablers reflected in the framework too: for example new models of integrated service delivery and new approaches to commissioning.

The focus of the workgroups was to articulate the problems local authorities experience with the way things are now, work through what a different, more enabling approach would look like, and explore their own practice to identify where examples of these new approaches can be highlighted.

Local government is at a moment of transition. We hope that this introductory paper and the rest of the Handbook will be of use to changemakers at all levels in supporting that transition and nurturing a new future for local government.

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## 4.2 How local and national government can accelerate the potential offered by new operating models in the coming years

The case studies in this collection show that progressive change has and is occurring, partly catalysed by a shift in mindset away from a conception of government as a delivery system and towards one that sees government as a key player in a local system creating the conditions for people and place to flourish. This new mindset embraces complexity and decentralisation of power to maximise long-term impact, and reorients focus away from processes and outputs and towards people and outcomes.

We have seen numerous examples of how this shift can deliver progressive change. However, our view is that most local authorities are not yet at the stage where new operating models are part of business as usual: Upstream Collaborative members stressed that the reality is more nuanced than that. While they agreed that a great deal of change is already happening, local leaders often have to go against the grain to achieve it, operating within legacy systems that are not designed to facilitate upstream working.

In the course of the work, members made a range of insightful suggestions about how an upstream shift could be accelerated, setting out the system conditions and identifying key enablers as seen in the Margins to Mainstream paper within this Handbook. Our intention is to amplify these suggestions while also being mindful of the wider context of English devolution policy: the [English Devolution and Economic Recovery white paper](#)<sup>23</sup>, published in Autumn 2020, sets the parameters for what is possible in the coming years.

The Local Government Association (LGA) has already articulated their collective position regarding the white paper. In '[Re-thinking local](#)<sup>24</sup>', they argue that the COVID-19 pandemic presents both central and local government with a once-in-a-lifetime opportunity to review and reform its ways of working. The Upstream Collaborative members agreed with this, but maintained that local leaders do not need to wait for permission from central government to start this process of reimagining, suggesting all local authorities conduct a stocktake to thoroughly review the successes and failures of their COVID-19 response. The purpose of this stocktake should be to identify what worked – and why – so that innovative and effective practices can be integrated into the mainstream.

This Handbook could be used as a tool to shape the review. Leaders could begin by reflecting upon the New Operating Models Framework, described in Section 3 above, in order to identify the extent to which their area has shifted to upstream working. The next step would be to scope what the key leverage points for change might be, and task relevant teams to lead initiatives to accelerate the transition, using the Margins to Mainstream paper to assess system conditions.

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This could lead to concrete investments in infrastructure or capabilities or more fundamental organisational shifts in mindset, values, principles and behaviours.

At a national level, our hope is that the government uses the forthcoming Devolution and Economic Recovery white paper to promote greater fiscal decentralisation. Upstream Collaborative members made a persuasive case that the over-centralisation of fiscal power in Whitehall constrains their ability to adopt new operating models and shift to upstream ways of working.

Their problem diagnosis is not new, and should be recognised by readers from central and local government alike. Local government funding is insufficient, can be inflexible and is often tied to risk-averse accountability frameworks. Members stressed that central and local government should be equal partners, not accidental adversaries, and made suggestions about how this could be achieved:

- **Funding:** Funding levels need to increase if local government is going to be able to help promote a resilient recovery from the COVID-19 pandemic. Capital spending on infrastructure projects is welcome, as is funding to support local businesses. However, social policy areas also need additional resources to meet rising levels of demand and increasing complexity of need.
- **Flexibility:** Funding from central government can be inflexible. Eligibility criteria, application processes and programme specifications can constrain local leaders from doing what they know works in their context in favour of a top-down approach that may be less likely to achieve the desired outcomes.
- **Accountability:** Risk-averse accountability frameworks prioritise central control over local learning. Whilst it is important to establish systems to maintain standards, this should not come at the cost of stifling innovation and *improving* standards.

In his speech to the LGA, Minister for Local Government Simon Clarke stated that a core aim of the white paper is to connect local recovery to 'levelling up' by shifting power to people on the ground. We think this is the correct approach to take – but it may not go far enough to address the issues identified above. Our hope is that central government will complement all place-based economic recovery funding with additional, flexible funding designed to support preventative social policy interventions delivered upstream.

HM Treasury could do this by using the forthcoming Comprehensive Spending Review to move towards greater use of multi-year, multi-departmental pooled budgets. These merged funding streams would be outcome- rather than service-based (and therefore less subject to ring-fencing). They could catalyse a scaling back of central targets, regulations and inspections and help to shift political accountability away from Whitehall and towards newly empowered Metro Mayors. Relevant public services could be commissioned on a shared geography rather than an individual service basis, and pooled budgets could be underpinned by clear leadership, binding risk-sharing agreements and integrated governance structures.

If done right, this greater autonomy and fiscal decentralisation could help enable the systemic conditions that new operating models need to proliferate and become mainstream.



## 05. Acknowledgements

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**With great thanks to the wider field whose work has inspired and influenced the thinking behind the Upstream Collaborative programme and within this paper.**

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Leadership Centre  
Locality  
Local Trust  
New Local Government Network  
Power To Change  
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## 06.

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