

FALKIRK COUNCIL

Subject: REVIEW OF WORKING GROUPS
Meeting: AUDIT COMMITTEE
Date: 23 September 2013
Author: DIRECTOR OF DEVELOPMENT SERVICES

1. INTRODUCTION

- 1.1 Members will recall the decision at the previous meeting to undertake a more detailed assessment of Corporate Working Groups (CWG's), with the aims below:
- To develop a clear Corporate view of CWG's, by mapping them together under the Corporate Risk Register (CRR) headings;
 - To identify the terms of reference, membership and reporting lines for all CWG's;
 - To develop a structure for CWG's to report to CRMG, in order to improve scrutiny and minimise the risk of gaps e.g. the failure to escalate risk issues which a group identifies as needing further corporate attention;
 - To consider rationalisation of CWG's, where appropriate.
- 1.2 The purpose of this report is to provide Members with an update on the findings of this review, and to advise them of the next steps which are proposed.

2. FINDINGS

- 2.1 Appendix 1 provides an organisation chart of CWG's. These are grouped by the categories used within the CRR
- 2.2 A more detailed schedule is provided in Appendix 2 – in particular, the schedule includes the terms of reference, membership and key risks for each CWG.
- 2.3 Most of the risks addressed by CWG's are not currently captured in CRMG agendas, although these may be indirectly discussed in other forums, for example CMT or Committees.
- 2.4 Public Protection is addressed by various CWG's, and lead by multiple Services, for example:
- Corporate Parenting Group: This is the lead group for policy relating to 'Looked After Children', and it is lead by the Head of Policy, Technology & Improvement;
 - Child & Adult Protection Strategy Group (CAPSG): This is primary internal group for protection issues, and is lead by the Chief Executive;
 - Health & Social Care Partnership & Children's Commission. Multi-Agency Groups;
 - Safer Recruitment (PVG* Scheme for employees). Lead by Human Resources;
 - PVG* WG (non-employees issues e.g. volunteers). Lead by Governance.

*PVG means 'Protecting Vulnerable Groups' scheme – Disclosure Scotland.

- 2.5 A new multi-agency group is proposed to lead on protection issues i.e. the G5 Reporting Group. It is anticipated that this will have representation from the Chief Executives of the 3 local Council's (Falkirk, Clacks and Stirling); the Chief Executive of NHS Forth Valley; and a Senior Officer from Scotland Police.
- 2.6 A number of CWGs are to be established (e.g. DEN – Disabled Employee Network), re-started (e.g. PVG, Corporate Funding Review and Corporate Parenting); or amended (e.g. ICT Strategy Group is now the Improvement & Governance Board).

3. NEXT STEPS

- 3.1 CRMG have agreed that CWG activity will be reported within 6-monthly Service Risk Reports to CRMG, and risk will also be aligned with performance reporting.
- 3.2 A consequence of broader and more regular reporting to CRMG is that the agenda is likely to become fuller. Therefore, subjects which currently report at most meetings – such as insurance, emergency planning and safety - will be reported within Service risk updates, unless circumstances dictate otherwise.

4. RECOMMENDATIONS

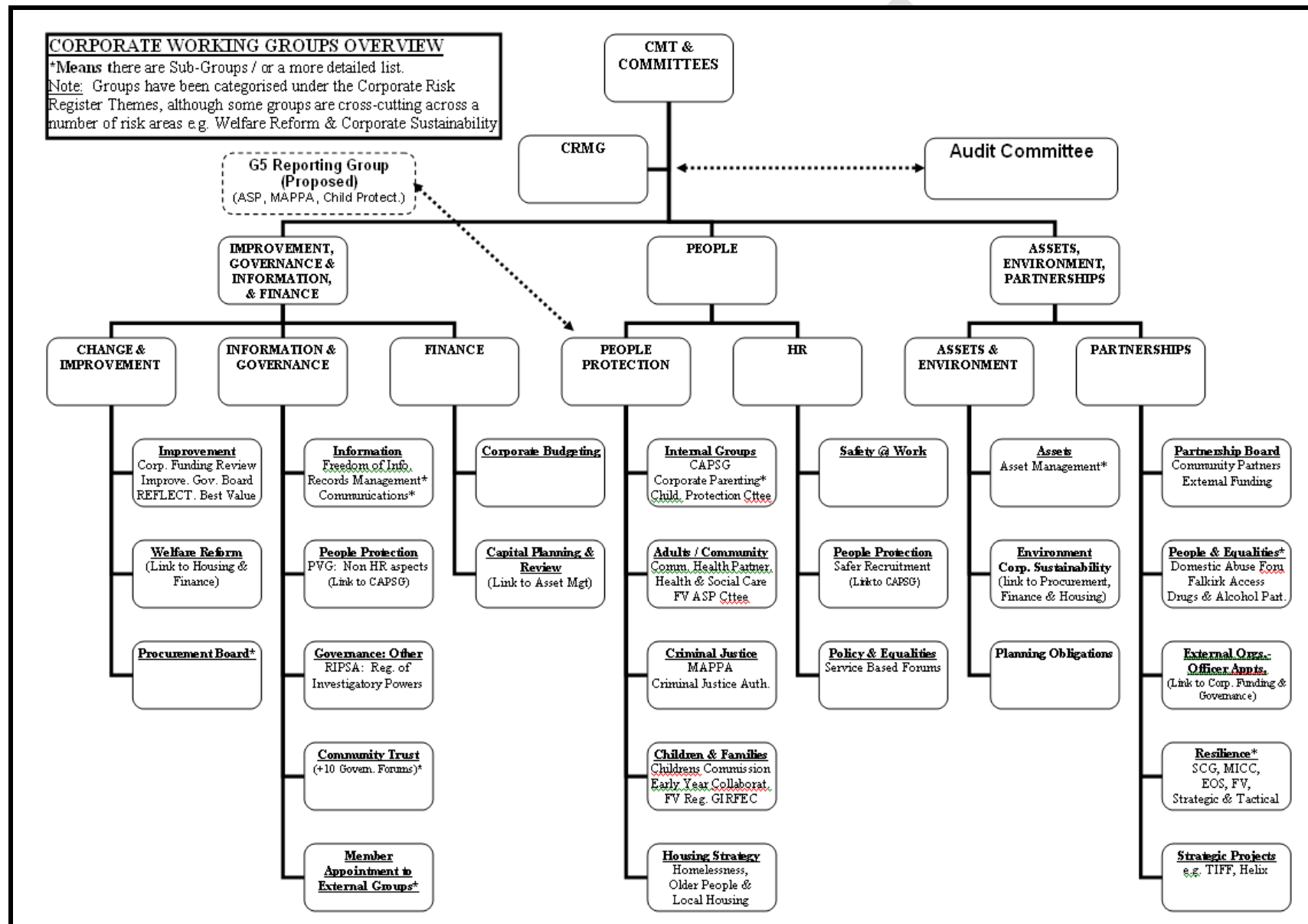
4.1 Members are invited to note:

- 4.1.1 the findings of this review;
- 4.1.2 the proposed reporting structure and frequency of reports to CRMG;
- 4.1.3 the working groups list will be updated annually, as part of a review of the effectiveness of CRMG, and the findings of this review will be communicated to the Audit Committee.

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Director of Development Services

Date: 10 September 2013

Appendix 1: CORPORATE WORKING GROUPS OVERVIEW



Appendix 2: CORPORATE WORKING GROUPS SCHEDULE

Risk Category	Committee/ Group	Reports To	Meetings Per Year	Chaired By	Members	Terms of Reference / Objectives	Top 5 Risks
Information	(1) Records Management (+ 1 Sub Group)	Governance DMT	4	D Turnbull	L Strathie/ K Sodden/ F Cairney/ M Farr/ S Blackie/ A Findlay/ A Patrick/ I Peat/ E Reid/ N Duthie/ C Young	(1) To ensure that the Council meet statutory obligations. (2) Developing, assessing and reviewing the Council's Records Management Plan as required under PRSA (Public Records Scotland Act).	(1) Data Protection: Risk of sensitive information being incorrectly disclosed. (2) Document Retention: Inappropriate processes & guidance could result in negative PR and fines.
	(2) FOI Liaison	CMT	4	G McIntyre	D Turnbull/ A Steel/ W Barber/ L Strathie/ M Farr/ A Patrick/ S Blackie/ A Findlay/ L Gow/ F Cairney/ L Sharp/ N Kerr/ J Forsyth	(1) To ensure a consistent approach to the practical, day-to-day application of the FOI Act across the Council, based on legal, CMT and Scottish Information Commissioner guidance as appropriate.	(1) Fines from Information Commissioner. (2) Negative PR due to enquiries or fines. (3) Surprises for Snr Mgrs - due to inappropriate approval processes. (4) Inconsistent application of guidance.
Governance	(3) Civic Events	Falkirk Council	As required	D Robb	Members & Officers, as required	(1) To co-ordinate community events - both Council & partner run events. (2) Develop an annual events calendar. (3) Assess & plan resources needed. (4) To improve / refresh events. (5) To manage contractors.	(1) Events not adequately planned - negative PR & inefficient use of people and funds. (2) Events do not continue to reflect the needs/ wishes of communities. (3) Failure to manage contractors - potential logistical, financial, legal and safety issues.
	(4) Safer Recruitment (5) PVG Group: Non-employees	Governance/ HR DMT	4 TBC	HR C Moodie	All Services. To Be Established.	(1) To implement PVG disclosure checks– both employees & volunteers. (2) To ensure that the PVG scheme is effectively understood & implemented. (3) Safer recruitment – to protect the Council & public.	(1) Child/ Adult protection issues. (2) Increased cost due to wrong employees / contractors/ volunteers in post (3) Civil claims & negative PR. (4) Data protection.
	(6) RIPSA (Regulation of Investigatory Powers (Scotland) Act	Governance DMT	T BA	R-M Glackin	P Gilmour	(1) To ensure compliance and understanding of the Act. (2) Monitor & review use of surveillance. (3) To detect & monitor (e.g) crime, anti-social behaviour & tenancy breaches.	(1) Complaints to the Investigatory Powers Tribunal (IPT). (2) Quashing of any warrants, destruction of any records held or financial compensation. (3) Human Rights Act claims.

Risk Category	Committee/ Group	Reports To	Meetings Per Year	Chaired By	Members	Terms of Reference / Objectives	Top 5 Risks
Community Trust Governance (1)	(7) Strategic Development Strategic Focus (CTSPF) (+ 1 Sub Group)	Trust CEO/ CMT	4	M Campbell	I Henderson Council Leader Cttee. Convenors & Other Officers as required.	(1) To discuss and monitor the Trust's performance & forward planning. (2) To assess delivery of strategic objectives as part of SOA process. (3) To inform the Trust of the strategic direction of the Council.	<p>(1) Lack of agreed objectives.</p> <p>(2) Inadequate monitoring and reporting of performance and spend - failure to identify deviations from plan early.</p> <p>(3) Strategic Objectives / Outcomes do not support the SOA.</p> <p>(4) Lack of understanding between the Council and Trust on strategic plans & how each contribute to them.</p> <p>(5) Emerging issues are not identified or responded to quickly enough.</p> <p>(6) Inappropriate governance & risk management arrangements within Trust</p> <p>(7) Inadequate forward planning (e.g. ICT, Assets, Policy & Communications) could hinder performance.</p>
	(8) Chief Executive Liaison Meeting		2	M Pitchaithly / M Campbell	M Pitchaithly M Campbell	(1) To maintain dialogue between Trust & Council (2) To ensure that emerging issues are captured on both sides.	
	(9) Performance, Business Plan and On-going monitoring		4	A Wilson	A Wilson D Cairney Other officers as required.	(1) To review Trust Performance. (2) Discuss policy, press & promotion. (3) Monitor Trust's approach to risk mgt	
	(10) Trust - HR and Financial Management		4	M Campbell	K Algie/ T Gillespie/ J Simpson/D Cairney/ Trust Mgt Team.	(1)To consider forward planning for all Trust HR & Finance matters. (2) To review the HR & Finance SLA's.	
	(11) Asset Management - Strategic & Operational Focus		8	D Duff/ R Millard	R McMaster/AUrqart A Templeman/ C McGhee/ N Brown / P Finnie / Other Trust Officers as required.	(1) Forward planning and review of performance in respect of property & ICT assets being managed by Trust (2) To consider policy, plans and SLA's. (3) To establish systems for recording and authorising the day to day work.	
	(12) ICT & Policy Management		4		F Campbell (C&N) / Other Officers as required.		
	(13) SLA Review		1	M Campbell	I Henderson (Gov)/ D Cairney (Fin)/ Heads of Service for each SLA/ Trust Mgt Team.	(1) To review the SLA performance, budget matters and discuss any variations required by either party.	

Policy, Technology and Improvement

(14) Corporate Funding Review (external funding) (+ 5 Sub Groups)	CMT	TBC	F Campbell	To Be Established.	(1) Ensure that spend via JWA (Joint Working Agreements)/SLA's achieves priorities In the Corporate Plan. (2) Identify & recommend savings in allocations to external organisations.	(1) Funds are allocated to areas which do not contribute to corporate objectives. (2) Shortfall in priority areas. (3) Inappropriate charging & grant structures e.g. charges for use of council premises.
(15) Welfare Reform	CMT	As required		Service Managers	(1) Prepare for implementation of reforms - in particular Housing Services.	(1) Failure to adequately manage change. (2) Inappropriate services. (2) Increased rent arrears.
(16) Corporate Parenting Strategy Group	CMT & Child. Commission	TBC		C Moodie All Council Services inc. CF&CJ, Housing, and ETU sections	(1)To develop Strat. & Action Plan (2) To report on strategy progress. (3) To ensure governance arrangements are fit for purpose.	(1) Not protecting Looked After Children. (2) Not meeting needs of LAC. (3) Failure to deliver on Action Plan. (4) Negative PR, inspection reports, and claims.
(17) Best Value Working Group	CMT	12		C Binnie/ A Wilson / D Cherry/ E Costello / C McGhee/ A Temple D Turnbull/ P Morgan-Klein/ S Thomson	(1) Steers implementation of Best Value and Performance Mgt. policies and procedures within the council. (2) A forum for sharing good practice.	(1) Inadequate performance reporting. (2) Unable to demonstrate best value. (3) Missed Opportunities to highlight good practice.
(18) Improvement Governance Board (was ICT Strategy)	CMT	6	A Wilson	To Be Established.	(1) Oversees the delivery of ICT & improvement Strategy & investment. (2) Strategic leadership for change. (3) Communicates challenges and priorities arising beyond the Council and influences corporate decisions.	(1) Failure to achieve/ demonstrate best value. (2) Increased scrutiny e.g. more frequent best value audits instead of self assessment. (3) Reputational consequences.
(19) REFLECT	CMT	12	A Stewart,	S Roushan/ C Morland/ D Cherry J Clark/ R Laley/ J Brown/ M Davies/ S Thomson A Finlay/ D Maden/ D Turnbull	(1) To develop service capabilities for improvement. (2) To work with services to implement REFLECT/ self assessment reviews. (3) To share best practice from reviews.	(1) Failure to identify (or maximise) opportunities for service improvements. (2) Reduced funding for priority services because funds are not used effectively. (3) Negative best value audits.
(20) Procurement Board	CMT	4	Stuart Ritchie, C&N Service Director	W McQuilliam Service Reps (Chief Officer Level)	(1) Maintaining high standards of corp. gov. & implementing best practice. (2) Embedding Sustainable procurement into all our activities. (3) Improving access to our contracts - particularly for local business & SMEs. (4) Improving officer skills & awareness (5) Collaborating to deliver Savings.	(1) Failure to deliver Corporate priorities (e.g. a failure to integrate sustainability). (2) Changes in demographics, social or economic trends – impact on service demands. (3) Capacity to deal with e-procurement. (4) Insufficient data to monitor spend & suppliers (5) Operations do not continue to be competitive and deliver value / quality (e.g. outsourcing).

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People: Protecting Vulnerable Individuals	(21) Child and Adult Protect. Strategy Group (CAPSG)	CMT	4	M Pitcaithly	C Moodie/ M Anderson	(1) Internal Lead on Chlid & Adult Protection issues.	(1) Failure to provide adequate care & housing services to vulnerable people in the community. (2) Safety & Civil Claims.
	(22) Housing & Social Care Partnership Board (+ circa. 30 Sub Groups)	CMT & Housing & SW Partner Board	TBC (monthly?)	Multi-Agency J Litts M Anderson	SW & Housing Multi-Agency Partners	(1) Multi-Agency Care Lead (2) To support vulnerable people to live safely in their own homes/communities. (3) To provide suitable Housing & Community Care	(3) Adverse PR. (4) Negative inspection reports by Care Commission and Housing Inspectorate.
	(23) Integrating Care (NHS / SW Integration)		TBC (Quarte	Scottish Government Reg'd Social Landlords (RSL's)	SW & Housing Service Managers	(1) Re-design of Services to take account of changes - in particular, Adult Community Care.	(5) Failure to meet SHQS requirem'ts (Scottish Housing Quality Standards).
	(24) Homeless Strategy Group		4	Homes for Scotland	E Hood Housing SW Managers		(6) Lack of resources (particularly financial) to deliver LHS targets.
	(25) Local Housing Strategy (LHS) Steering Group		4	Assoc. of Landlords	S Bentley/ E Hood/ K Gillespie/ DMcCart/ SThompson/ C Hemfrey/ B Roddie	(1) To oversee implementation of LHS. (2) To take account of Scottish Govt. guidance, good practice and the changing financial environment.	(7) Changing environment, such as welfare reform.
	(26) Older Persons Strategy Working Group.		4	J Litts	J Litts/ S Bentley/ D McCart/ SThompson/ L McGhee/ G McNamara/ 4 RSLs	(1) To develop an Older Peoples' Housing Plan; Joint Strategic Commissioning Plan; and a Housing Contribution Statement. (2) To link these plans to the National Older Peoples' Housing Plan.	(1) Housing and Social Work are delayed in delivering and implementing the Older Peoples' Housing Plan by impending health and social care integration
	(27) Falkirk Multi-Agency Domestic Abuse Forum	Community Safety Partnership	4	HR	SW, Housing, Educ & voluntary organs e.g. Women's Aid, Rape Crisis, Open Secret	(1) To ensure all areas of domesitc abuse are being addressed. (2) To ensure that prevention work is being progressed.	(1) Increased domestic abuse incidents. (2) Reduced support for victims.
People: HR	(28) Service Based Forums	JCC	12	Service Directors	Service DMT's / TU Reps	(1) Employee engagement & consultation e.g.safety, absence, policy	(1) Poor communications or breakdown in relationship between services and TU's could lead to employee unrest and service disruption.
	(29) Falkirk Access (+2 Equal. Groups)	HR	8	Scot. Execut. Disability Equality Forum	P McGrellis, HR Multi-Agency	(1) To discuss needs of disabled public. (2) DEN – Disabled Employee Network. (3) LGBT Regional Group.	(1) Inequalities and discrimination. (2) Reduced morale / productivity. (3) Potential equalities claims.
	(30) Safety @ Work	HR	6	R Edward	S Soroka/ A Patrick/ S Blackie/ A Findlay/ C Morland/ A Smith	(1) Monitor & discuss policy & guidance (2) To share best practice & lessons (3) Monitor implementation of policy	(1) Accidents, Injuries, Absences. (2) Fines, prosecutions & claims.Reduced Moral (3) EAI's & HSE enquiries – time & PR

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Finance	(31) Corporate Budget	CMT	As required	B Smail	B Smail/ J Flannigan/ K Algie/ F Campbell/ G Greenhorn K McCarroll RM Glackin/ D Duff	(1) To develop and monitor delivery of the Corporate Budget.	(1) Council fails to deliver budget. (2) Members fail to agree savings. (3) Members fail to agree budget strategy
	(32) Capital Planning and Review	CMT	6-8	C McGhee/ A Templeman	R McMaster G Greenhorn/ D Duff/ D McGhee/M Reddie/ A Urquhart F Campbell RM Glackin/Others	(1) To develop and monitor delivery of the Capital Program. (2) To ensure best value spend. (3) To ensure spend within budget. (4) To communicate plan with stakeholders (e.g. CMT & Members).	(1) Capital programme not delivered. (2) Capital programme is over budget. (3) Monies are not spent on priorities. (4) Members are not kept informed. (5) Services affected as result of above.
Assets	(33) Asset Management Group (+4 Sub Groups)	CMT	6	D Duff	Service Representatives	(1) To develop & monitor the Corporate Asset Mgt Plan & associated Asset Plans (property, roads, open space, fleet, ICT and housing). (2) To monitor Best Value & Best Fit. (3) To link asset, capital and strategic planning & link to FV Asset Strategy. (4) Rationalisation & efficiency savings.	(1) Deterioration & increased depreciation. (2) Not fit for purpose - excessive maintenance. (3) Insufficient util.& rationalisation of buildings. (4) Environ. Impacts – ops. not energy efficient. (5) Financial Challenges e.g. savings on external rents, running costs etc. (6) Mis-alignment of asset & capital planning – capital shortfalls require more revenue savings.
Environment	(34) Corporate Sustainability	CMT/ CRMG Service Sustainability Teams	4	R Geisler	B Roddy/ M Bonnar D McGhee/ J Angell R McMaster J Flannigan B Pirie/ S Thomson S Rolfe/ R Cartwright	(1) To develop a corporate approach to sustainability issues inc climate change (2) To share best practice amongst services – via Sustainability Teams. (3) To monitor the implementation of corporate sustainability policy & targets. (4) To monitor emerging sustainability & climate change issues, and decide how to meet legal obligations & targets.	(1) Legal e.g. EU Directives on waste, Strategic Environmental Assessments & Climate Change. (2) Financial - energy costs, emerging related taxes, whole life costing. (3) Climate change – impact on Council area, its estate & service delivery. (4) Reputational: Fulfilling commitments made in Scotland's Climate Change Declaration e.g. minimising carbon emissions.

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Partnerships & Change	(35) Internal Groups a) Strategic Resp. b) Tactical Resp.	CMT	As Required	Head of Service – Depends on nature of the emergency e.g. pandemic flu or winter.		(1) Internal emergency management co-ordination	(1) Injury, Death, Damage to Property (2) Claims e.g. businesses hit by flood (3) Reputational damage.
	(36): Strategic a) Strategic Co-ordinating Group (SCG) b) Support Group (+4 Sub Groups)	CMT	4	Multi-Agency	M Pitcaithly R Geisler / M Wilson M Anderson/ C Binnie Emergency Services Voluntary Organisat's	(1) Statutory response to public emergencies. The Council are Category 1 responders and work with emergency services & voluntary organisations.	
	(37): Regional-EOS (Until Nov 2013) EOS* Reg. Groups a) Fut Res. Structure b) Reg. Resilience Partnership (+4 Sub Groups)	CRMG	As Required		Regional Reps from SOLACE & LARGS* Local Authorities Emergency Services Voluntary org's.	(1) Regional emergency management co-ordination (2) Managing change in emergency services structures i.e. creation of national police & fire services.	(1) Ineffective mgt of change (2) New structures do not support effective response.
	(38): Regional-EOS- Anticipated: Nov '13+ a) Reg. Res. Group b) Bus. Mgt. Group c) FV Local Res Partnership		4		M Pitcaithly R Geisler / M Wilson M Anderson/ C Binnie EOS Local Authorities Emergency Services Voluntary Organisat's.	(1) Regional emergency management co-ordination (2) Anticipated Structures.	(1) Injury, Death, Damage to Property. (2) Claims e.g. businesses hit by flood. (3) Reputational damage. (4) Non compliance with COMA*
	(39) Grangemouth Major Incident Control Committee (MICC)				M Wilson Industry Reps Emergency Services HSE SEPA* COMA*	(1) Statut. duty to comply with COMA*. (2) To plan for and respond to emergency at Grangemouth. (3) Co-ordinate learn. & development. (4) Co-ordinate 2 DISCO (Disaster Control) exercise's annually.	
	(40) Planning Obligations	Development Director	4	J Angell	A Rodger Service Officers	(1) To design, maintain and operate a corporate monitoring system for planning obligation agreements and finance.	(1) Failure to spend / implement projects in accordance with terms of agreements. (2) Failure to track income. (3) Loss of staff /knowledge continuity. (4) Breakdown in inter-service communications. (5) Legal challenge.