

**FALKIRK COUNCIL**

**Subject: CORPORATE WORKING GROUPS REVIEW**  
**Meeting: AUDIT COMMITTEE**  
**Date: 20<sup>th</sup> April 2015**  
**Author: DIRECTOR OF DEVELOPMENT SERVICES**

**1. INTRODUCTION**

- 1.1 Members will recall that a detailed assessment of Corporate Working Groups (CWG's) was undertaken in 2013, and that the Audit Committee requested that the Chief Executive review the CWG arrangements as there appeared to be an excessive number of groups and the potential for duplication and inefficiency.
- 1.2 A review has been undertaken with the aim of identifying areas for integration, and to distinguish between Corporate, Operational Working Groups (OWGs) and Multi-Agency Groups (MAGs).
- 1.4 The following appendixes are attached and have been reviewed previously by CMT:
- Appendix 1 provides a CWG organisation chart; and
  - Appendix 2 provides a more detailed CWG schedule.
- 1.5 The list and overview for each CWG is dynamic and will be reviewed over time by each CWG. For example, the Asset Management and Corporate Sustainability Groups are reviewing their objectives and risks as part of ongoing reviews of their related strategies, plans and work-plans. There are also a number of new groups included, including Equalities and the Improvement Governance Board (was the ICT Steering Group), whose terms of reference are still to be agreed.

**2. KEY CHANGES AND RECOMMENDATIONS**

- 2.1 The list of CWGs has been substantially reduced, from 52 to 14 CWGs, and they continue to be aligned with the 7 Corporate Risk Register (CRR) categories.
- 2.2 It is recommended that the Chair of each CWG determines the appropriate operational arrangements for the group, including associated OWGs and MAGs.
- 2.3 The current OWGs and MAGs are noted within Appendix 2 for information, although it is proposed that this level of detail is excluded from any future reports to the Audit Committee and the Executive.
- 2.4 The key changes to the CWG structure and list are outlined below:-

2.4.1 Assets

The current CWG list for assets includes a number of OWGs, including the Fit Fleet and Planning Obligations groups, which have now been removed as they deal with operational issues and they will feed into the Asset Management Group. Asset CWGs are now the Asset Management and Corporate Sustainability groups.

#### 2.4.2 Change and Partnerships

All services manage change and relationships with Partnerships, however, the key CWGs have been identified as Community Planning, Housing, People Protection and Resilience. A number of these groups were previously included under the Governance risk category, but have been re-assigned to this category because they are mainly MAGs and lead on significant change objectives. The Welfare Reform CWG and the Procurement Board are also included within this category.

#### 2.4.3 Performance, Best Value and Improvement

This heading includes both the Best Value and Improvement groups, which are lead by Policy, Technology and Improvement Team. The Terms of Reference and Membership of the latter are still to be agreed, however it is expected that these will have similarities with the Best Value CWG and hence at present they are combined in Appendix 3. This will be updated as part of future reviews.

#### 2.4.4 People Protection

This category has been significantly rationalised, and is categorised into:

- CAPSG (Child and Adult Protection Strategy Group (internal strategy); and
- Child Protection, MAPPA and Adult Support and Protection (multi-agency).

Numerous other CWGs that appeared on the previous list have been removed as they focus on operational issues and are captured within these broad headings.

#### 2.4.5 Finance

The Corporate Budgeting CWG has been deleted from the schedule, as Finance Division advised that it has not met for over a year.

#### 2.4.6 Governance

This risk category includes CWGs for the Community Trust and Equalities. The latter is a new CWG which is due to be formed in 2014 and will be championed by the Chief Governance Officer. The terms of reference shown in the CWG list are a draft, as they are still to be developed and approved.

#### 2.4.7 Human Resources

The only CWG included in this risk category is the Safety @ Work Group. Service Based Forums have been removed as they deal with operational issues.

#### 2.4.8 Information

At present there are no CWGs for information, although there are OWGs relating to Freedom of Information, Records Management and RIPSAs (surveillance); and the Information Management Review includes a review of responsibilities for information risks.

**3. RECOMMENDATIONS**

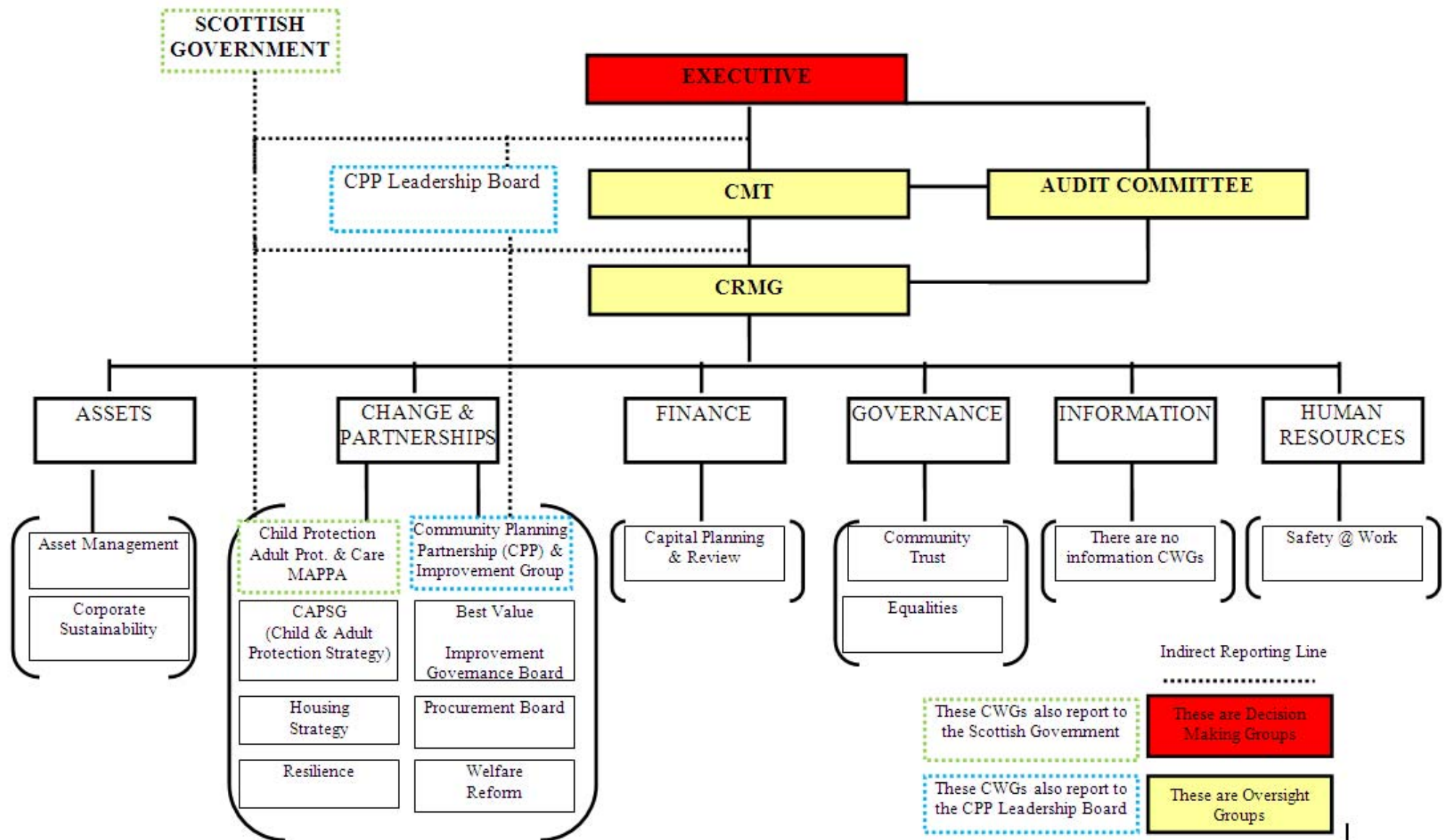
**3.1 Members are invited to:**

**3.1.1 note the contents of this report and attachments.**

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**Director of Development Services**

**Date: 8th April 2015**

## Appendix 1: CORPORATE WORKING GROUPS CHART (April 2015)



## **Appendix 2: WORKING GROUPS LIST (Aug 2014)**

\*A number of groups say ‘Reports to CRMG and CMT’. This means that the CWG report directly to CMT, and that Services will include an update on those CWGs which they lead on within their 6-monthly Service Risk Update to CRMG, and they will request further information on risks from CWGs as appropriate.

## ASSETS

## (1) Asset Management

<b>Objectives</b> (1) To develop and monitor the Corporate Asset Management Plan and associated Asset Plans (including property, roads, open spaces, fleet, ICT and housing). (2) To monitor Best Value & Best Fit to deliver effective Services. (3) To link asset, capital and strategic planning. (4) To link the Council and FV Partners Asset Strategies. (4) To identify and implement rationalisations and efficiencies.		<b>Risks</b> (1) Asset deterioration and increased depreciation. (2) Assets are not fit for purpose, leading to increased servicing, running costs and inefficient and/or ineffective services. (3) Insufficient utilisation and rationalisation of assets. (4) Environmental impacts e.g. assets are not energy efficient. (5) Financial challenges, such as: a) A need to deliver savings on external rents in order to support local businesses and the economy to grow. b) Increased running costs due to e.g. fuel prices and inflation. c) Reduced income due to lower funding and interest rates. (6) Non-alignment of asset and capital planning, which may result in capital shortfalls, and consequences thereof.			Reports to CRMG and CMT	Meets 6 x a Year
<b>Associated OWGs and MAGs:</b> (1) Fit Fleet Group	<b>Chair:</b> D Duff	<b>Members:</b> A Urquart R Millard R Smith	C McGhee/ A Templeman M King	K Gillespie C Bullough A Livingstone		
(2) Corporate Sustainability						
<b>Objectives</b> (1) To develop and monitor the implementation of corporate sustainability policies and targets, related to, for example: a) Waste reduction; b) Energy efficiency; c) Recycling; and d) Climate change. (2) To share best practice amongst services. (3) To monitor emerging sustainability and climate change issues, and to develop strategies to meet legal obligations and plans.		<b>Risks</b> (1) Failure to comply with statutory obligations, for example: a) EU Directives on waste; b) Strategic environmental impact assessments; and c) Climate change. (2) Failure to respond to financial challenges and inefficiency, e.g. a) Energy costs; b) Emerging related taxes; and c) Whole-life costing. (3) Climate change and its impact on communities, the economy, assets and services. (4) Reputation damage to the Council. (5) Failure to fulfil commitments made in Scotland's Climate Change Declaration e.g. minimising carbon emissions.			Reports to CRMG and CMT	Meets 4 x a Year
<b>Associated OWGs and MAGs:</b> (1) Service Sustainability Teams	<b>Chair:</b> R Geisler	<b>Members:</b> B Roddy/ J Angell R McMaster	R Cartwright M Bonnar D McGhee	J Flannigan/ B Pirie S Thomson S Rolfe		

## **CHANGE and PARTNERSHIPS**

### (3) Community Planning Partnership (CPP) and CPP Improvement Group (both Multi-Agency Groups - MAGs)

<b>Objectives</b>		<b>Risks</b>		Reports to	Meets
(1) Strategic lead on Governance; Performance & Risk; Engagement & Participation; Joint Resourcing		(1) Inadequate CP performance and risk reporting. (2) CPP to undertake a risk assessment relating to risks faced by the CPP (as distinct from risks managed by CPP Members).		CPP Leadership Board	6-12 x a year
CPP theme structure:- (1) CPP Leadership Board (2) CPP Thematic Groups:- <ul style="list-style-type: none"> <li>Sustainable Falkirk               <ul style="list-style-type: none"> <li>Sustainable Development Group</li> </ul> </li> <li>Growing business and prosperous people – 'My Future's in Falkirk' Way Forward Group</li> <li>Fairer Falkirk – FF theme group</li> <li>Young People who are Confident and Successful - Children's Commission</li> <li>Safer Communities               <ul style="list-style-type: none"> <li>Community Safety tasking &amp; co-ord group</li> </ul> </li> <li>Healthier People               <ul style="list-style-type: none"> <li>Community Health Partnership Board</li> </ul> </li> </ul> (3) CPP Improvement Group & Sub-Groups: <ul style="list-style-type: none"> <li>Governance</li> <li>Performance (proposed - include risk)</li> <li>Engagement &amp; Participation</li> <li>Joint Resourcing</li> <li>Communications (proposed)</li> </ul>	<b>Chair:</b> Leadership Group: Council Leader  Improvem't Group: Head of PT&I	<b>Leadership Board</b> Falkirk Council CEO NHS FV CEO Police Scotland Community Trust	<b>Improve't Group</b> Officers from all Community Partners		

### (4) Best Value and (5) Improvement Governance Board

<b>Objectives</b>		<b>Risks</b>		Reports to	Meets
(1) Steers implementation of Best Value and Performance Management policies and procedures across the Council. (2) A forum for sharing good practice. (3) Oversees the delivery of ICT strategy and investment. (4) Strategic leadership for change. (5) Monitor Council and external challenges and priorities. (6) Develop service change capabilities. (7) Implement REFLECT/self assessment processes. (8) To share best practice from reviews. (9) Develop Communications strategy and intranet.		(1) Unable to demonstrate best value, leading to potential increased scrutiny (e.g. inspections and BV2 audits) and criticism. (2) Missed opportunities to identify best practice and efficiencies. (3) Reputation damage to the Council and/or our partners. (4) Ineffective communications with employees and other stakeholders, resulting in lack of buy-in to decisions, and services or delivery mechanisms may not meet users needs.  <b>Please note that the objectives, risk and membership of the IGB are still to be agreed, as this is a new group. This will be reflected in future updates to the CWG list.</b>		CMT	6-12 x a year
<b>Associated OWGs and MAGs:</b> (1) Best Value Working Group (2) Improvement Governance Board (new)	<b>Chair:</b> F Campbell A Stewart	<b>Members:</b> As above, as required.	CP Partners		

(6) Housing Strategy					
<b>Objectives</b> (1) Develop, integrate and oversee the implementation of various housing strategies and plans, including: a) Local Housing Strategy; b) Joint Strategic Commissioning Plan; c) Housing Contribution Statement; and d) National Older Peoples' Housing Plan. (2) Monitor and respond to changing Scottish Government policy, guidance and best practice, taking account of changing Service users needs, the economy, demographics and other factors which may affect housing policy.		<b>Risks</b> (1) Failure to provide adequate care and housing services to vulnerable people in the community may lead to: a) Injuries/ harm, particularly to the elderly and disabled; b) Health and safety prosecutions and civil claims; and c) Reputation damage to the Council and/or our partners. (4) Negative audits or inspections by the Care Commission and/ or Housing Inspectorate. (5) Failure to meet SHQS (Scottish Housing Quality Standards). (6) Lack of resources to deliver housing strategy targets. (7) Changing environment, including welfare reform. (8) Housing and Social Work are delayed in delivering and implementing the Older Peoples' Housing Plan by impending health and social care integration.			Reports to CMT and CRMG
<b>Associated OWGs and MAGs:</b> (1) Local Housing Strategy (inc homeless) (2) Older Persons Strategy	<b>Chairs:</b> J Litts M Anderson Partners	<b>Members:</b> <u>External Partners:</u> Scottish Government Social Landlords Homes for Scotland Assoc. of Landlords	<u>Housing Strategy:</u> S Bentley/ E Hood/ K Gillespie D McCart S Thompson C Hemfrey	<u>Older Persons:</u> L McGhee G McNamara S Bentley D McCart S Thompson B Roddie	

- (7) CAPSG (Child and Adult Protection Strategy Group (internal strategy); and  
(8) Child Protection, MAPPA and Adult Support and Protection (multi-agency).

<b>Objectives</b> (1) Internal lead on child and adult protection issues. (2) Develop strategies and action plans for Child and Adult protection, including Corporate Parenting, Adult Care and Protection and MAPPA related strategies and plans. (3) Monitor and report on strategy and plans progress. (4) Ensure governance arrangements are fit for purpose. (5) Align activities with key projects and MAGs, including: a) Self-directed care; b) Integration of NHS, Community Care and other services; and, c) GIRFEC requirements.	<b>Risks</b> (1) Failure to protect individuals and communities, including: a) Offenders in the community; b) Adult Protection; and c) Child Protection. (2) Failure to support Children and Families to help themselves. (3) Negative PR, inspection reports, and compensation claims. (4) Failure to help Individuals to achieve their full potential may lead to additional dependency and demand for care. (5) MAPPA - failure to: a) Develop strategies and oversee offenders in the Community; b) Protect offenders and communities; c) Support and encourage offenders to live improved lives; d) Deliver Community Payback Orders. (5) Failure of partners and services to collaborate, including: a) Information sharing e.g. 'at risk' individuals and offenders; b) Deliver effective integrated Services; c) Respond effectively to issues e.g. abuse allegations; d) Deliver action and improvement plans; e) Meet the needs of all children and adults; and f) Make best use of change funds e.g. early years.	Reports to CMT and CRMG  Children's Commission  Care Commission  FV and Fife MAAPA Group	Meetings 4x a Year
<b>Chairs:</b> M Pitcaithly (People Protection Strategy and Partnerships). F Campbell (Corporate Parenting ie Looked After Children). M Anderson / M Reddie/ K McCarroll - Operational Areas.	<b>Members:</b> C Moodie F Campbell	M Anderson M Reddie K McCarroll	SWS and CNS Service Managers as required.



(9) Procurement Board					
<b>Objectives</b> (1) Maintain high standards of corporate governance. (2) Embed Sustainable procurement into all our activities. (3) Improve access to our contracts - particularly for local businesses and SMEs. (4) Improve officer skills and awareness. (5) Collaborate to deliver savings and best practice.		<b>Risks</b> (1) Failure to deliver Corporate priorities (e.g. sustainability). (2) Changes in service demands due to trends in demographics, the economy, social issues and service needs. (3) Capacity to deal with e-procurement. (4) Insufficient data to monitor spend and supplier performance. (5) Operations are not competitive and/ or do not deliver value.		Reports to CMT and CRMG	Meetings 4 x a year
<b>Chair:</b> W McQuillan		<b>Members:</b> Chief Officer Level			
(10) Resilience					
<b>Objectives</b> (1) Develop strategic and tactical responses to emergencies. (2) Develop and monitor compliance with CCA and COMAH. (3) Develop multi-agency responses with emergency services and other partners, based on different response levels: a) FV local response, via FV Local Resilience Partnership; b) Grangemouth incident responses, via MICC; and c) Regional and/or national incident response, via EOSRRP. (4) Develop, review and test plans for civil contingencies (community response) and BCP (service and asset protection), for pandemic flu and winter emergencies etc.		<b>Risks</b> (1) Injury, death and/or damage to property. (2) Disruption to services, which increases potential for harm. (3) Claims – for example, from businesses hit by flooding. (4) Reputation damage to the Council. (5) Non Compliance with statutory obligations, including: a) CCA (Civil Contingencies Act) 2004; and b) COMAH (Control of Major Accident Hazards Regulations). (5) Ineffective management of change. (7) Partnership structures do not support effective responses.		Reports to CRMG and CMT	Meetings Vary
<b>Associated OWGs and MAGs:</b> (1) MICC: Major Incident Control Cttee (2) EOSRRP: East of Scotland Regional Resilience Partnership (3) FV Local Resilience Partnership (4) Severe Weather Planning	<b>Chair:</b> Depends on the nature or severity of the event or issue.	<b>Members:</b> (as req'd) M Pitcaithly R Geisler/ M Wilson R McMaster M Anderson/ M King C Binnie/ E Hood Others as required	Category 1 and 2 Responders, e.g. Local Authorities Emergency Services Key Govt. Agencies NHS		

## (11) Welfare Reforms

<b>Objectives</b> (1) Oversee the implementation and impact of welfare reforms across the Council.		<b>Risks</b> Welfare Reform will substantially impact on the Council, citizens, the economy; and affect a variety of groups including employees, landlords and partners, resulting in an estimated reduction in the Falkirk area economy of £48m per annum.  The impact of Welfare Reform is likely to lead to increased rent bad debts, housing demand shifts, poverty, ill-health and demand for services (in particular, welfare, finance & housing). Reduced citizen incomes also reduce spending and impact on the economy; and reduced Council income/ bad debts affects services and capital spend.  The risks associated with WR are detailed in a Risk Schedule developed by the Welfare Reform Governance Group, and Associated Plans & Policies such as Finance, Housing, Anti-Poverty and Community Partnerships.  The benefits/ opportunities of reform could include: <ul style="list-style-type: none"> <li>• improved data sharing – in particular, reducing internal barriers to data sharing – and improved services;</li> <li>• operational process efficiencies;</li> <li>• improved skills and employability for employees and citizens;</li> </ul> and, <ul style="list-style-type: none"> <li>• improved community and personal resilience.</li> </ul> The scale of change requires more flexible and innovative approaches to change & decision making - and being too 'risk averse' and slow to implement change could increase the risks.			Reports to CMT and CRMG	Meetings 4 x a year
<b>Associated OWGs and MAGs:</b>	<b>Chair:</b> S Ritchie	<b>Members:</b> M Anderson	F Campbell K Algie J Litts	B Smail S Mathers Sally Buchanan		

## **FINANCE**

### (12) Capital Planning and Review

<b>Objectives</b> (1) To develop capital budgets and plans, and ensure that the Council delivers best value from available financial resources. (2) To monitor spend and progress with of budgets and plans. (3) To communicate budget and capital plans with stakeholders, including Members, Citizens and Partners.		<b>Risks</b> (1) Capital programme is not delivered, or within budget. (2) Monies are not spent on priorities within SOA or Plans. (3) Members not kept informed of plan progress or spend. (4) Services, communities and the Council's reputation are adversely affected due to the above.			Reports to CMT and CRMG	Meetings  Capital 4-6x year
<b>Associated OWGs and MAGs:</b>	<b>Chair:</b> C McGhee/ A Templeman	<b>Members:</b> D Duff R McMaster A Urquhart	G Greenhorn K McCarroll M Reddie RM Glackin			

## GOVERNANCE

### (13) Community Trust

<b>Objectives</b> (1) Budgeting, business planning and performance monitoring. (2) Funding review and planning. (3) Agree and monitor SLAs for support services, such as HR, finance, assets and ICT. (4) Chief Executives and Board/ Member Liaison. (5) Capital and asset planning and reviews. (6) Ensure that both the Council and Trust operate within agreed policies and procedures (inc HandS compliance).		<b>Risks</b> (1) Lack of agreed objectives. (2) Inadequate monitoring and reporting of performance and spend - failure to identify deviations from plan early. (3) Strategic Objectives / Outcomes do not support the SOA. (4) Lack of understanding between the Council and Trust on strategic plans & how each contribute to them. (5) Emerging issues are not identified or responded to effectively. (6) Inappropriate governance and risk management with Trust. (7) Inadequate forward planning (e.g. ICT, Assets, Policy and Communications) could result in under performance.			Reports to CMT and Community Trust Board	Meetings Vary
<b>Associated OWGs and MAGs:</b> (1) Disabled Employee Network (DEN) (2) FV LGBT	<b>Chair:</b> M Pitcaithly M Campbell	<b>Members:</b> As req'd Service Managers from Council.	Council Members and Trust Board Members.	Service Managers from Trust		

### (14) Equalities

This CWG is to be established in 2014, and the Objectives, Risks and Membership will be more fully defined as part of the development of the group.

<b>Objectives (DRAFT)</b> (1) Develop policy, framework, objectives, guidance and training. (2) Monitor adherence to policies and best practice. (3) Share and develop best practice, and improve service capabilities, including Equality Impact Assessments. (4) Review and benchmark performance against both internal and external best practice standards.		<b>Risks (DRAFT)</b> (1) Failure to deliver equalities objectives, or to consistently apply policies and guidance, or to comply with statutory obligations. (2) The above may result in: a) Harm to individuals - employees and public; b) Financial costs (including Equalities Commissioner fines; Human Rights Act or injury claims, and Employment Tribunals; c) Limit to individuals personal achievements and independence Increased dependency and demand on care and welfare; d) Failure to achieve accreditations e.g. Investors in People (IIP); e) Reputation damage to the Council and our partners.			Reports to CMT and CRMG	To Be Decided
<b>Associated OWGs and MAGs:</b> (1) Disabled Employee Network (DEN) (2) FV LGBT	<b>Chair:</b> RM Glackin	<b>Members:</b> C Sweeney	Other to be decided			

## HUMAN RESOURCES

### (15) Safety at Work

<b>Objectives</b> (1) Monitor and discuss policy and guidance. (2) Share best practice and lessons learnt. (3) Monitor the implementation of policy and guidance.	<b>Risks</b> (1) Failure to deliver Health, Safety and Care objectives. (2) Inconsistent application of policies and guidance, or to comply with statutory obligations, resulting in potential: a) Harm to individuals - employees and public. b) Financial costs (including EL and PL claims and absence. c) Reduced performance and service standards. d) Failure to attract and retain talent. e) Failure to achieve accreditations e.g. Healthy Working Lives. f) Reputation damage to the Council.			Reports to to CRMG and JCC	Meetings 6 x a Year
<b>Chair:</b> R Edward	<b>Members:</b> J Hooper J McTaggart	C Chapman D Black A Smith	A Findlay A Patrick E Craig		

## INFORMATION

At present there are no CWGs for Information Risks.  
 There are however some operational working groups e.g. FOI, Records Management and RIPSA.