

# Introduction

1. This report provides the Corporate Governance & Audit Committee with assurances relating to the adequacy of the risk and resilience controls currently in place in the council; that they are up to date, fit for purpose, embedded and routinely applied.
2. The information in this appendix is based around a 'cycle of internal control framework' which consists of five aspects, seen in the diagram opposite.
3. The term 'Risk and Resilience' covers the three inter-related areas of Risk Management, **Emergency Planning (including Health)** and **Business Continuity Management**.
4. The council's risks arise from a variety of sources, some of which are out of our direct control, whilst others stem from changes in government policy and the shifting needs and make-up of our communities. Such changes bring uncertainties that can pose threats that need addressing but also bring opportunities to exploit. In recent times, local authorities and communities have experienced a wide range of significant risks including cyber-attacks, the coronavirus pandemic and last summer's heatwave conditions. Currently, inflation, winter pressures and workforce resources are presenting challenges, especially in the context of ongoing budgetary pressures.
5. Risk Management involves identifying the risks and threats that could impact on the ability to meet our objectives, assessing those risks to determine their significance and then putting in place arrangements to manage or mitigate them.
6. Emergency Planning relates to how the council prepares and responds to risks and emergencies of a resilience nature.
7. Business Continuity Management is a process that helps manage risks to the smooth running of an organisation or delivery of a service, ensuring continuity of critical functions in the event of a disruption, and effective recovery afterwards.



8. The need for the council to have strong risk and resilience arrangements remains essential. The past two years has seen a significant amount of change amongst council staff with risk and resilience responsibilities due to the impact of the early leavers initiative and natural turnover. This change has prompted the development of a more joined up approach linking risk management, emergency planning and business continuity management.
9. Through the arrangements outlined in this report, the council seeks to embed an effective risk and resilience culture across its values, and in the behaviour of all its staff and elected members. This responsibility extends to managing risks and how we respond to them with our key partner organisations to ensure they are aware of and are compliant with our risk and resilience policies and strategies.

## Define and Document

### 10. Policies and Strategies

11. The council's **Risk Management Policy** is a formal acknowledgement of the council's commitment to managing risk. The Policy is accompanied by a Risk Management Strategy, which contains details of the arrangements and guidance for managing risk within the council and acts as a reference point for staff and members. Together, these aim to ensure there is an effective, robust, consistent and communicated way of managing risk across the council.
12. The Risk Management Strategy and Policy considered the latest guidance, such as that from ALARM<sup>1</sup>, and relevant standards including ISO 31000<sup>2</sup> and the HM Treasury 'Orange book'. The main outcome from this consideration was that there is no 'one size fits all' approach for developing risk management arrangements and strategies, as organisations differ in their size and complexity.
13. Within the Policy, risk is defined as:
  - The effect of uncertainty on objectives<sup>3</sup>
  - [Risk is] a situation involving exposure to danger<sup>4</sup>
  - [Risk is] An uncertain event or set of events which, should it occur, will have an effect on the achievement of objectives; a risk is measured by a combination of the probability of a perceived threat or opportunity occurring and the magnitude of its impact on objectives<sup>5</sup>

<sup>1</sup> ALARM is a risk management organisation that develops industry leading best practice for those managing risk and insurance

<sup>2</sup> In 2018, the International Organization for Standardization issued updated risk management guidelines (ISO 31000).

<sup>3</sup> ISO 31000 Risk Management – Guidelines (2018)

<sup>4</sup> Oxford Dictionaries

<sup>5</sup> Managing Successful Programmes (OGC)

14. Risk management is a term used to describe the series of co-ordinated activities designed and operated to manage risk within an organisation and is a central part of that organisation's strategic management. Risk management activities include the identification, evaluation, prioritisation and treatment of risks which are summarised as the Risk Management Process.
15. Under the Civil Contingencies Act 2004, an '**emergency**' is defined as:
- an event or situation which threatens serious damage to human welfare in a place in the United Kingdom
  - an event or situation which threatens serious damage to the environment of a place in the United Kingdom, or
  - war, or terrorism, which threatens serious damage to the security of the United Kingdom
16. **Business Continuity Management** is a process that helps an organisation to continue to provide its critical or prioritised services or functions in the event of an incident or disruption. The council recognises the benefits of having efficient and effective business continuity management arrangements in place. Not only is Business Continuity Management good practice, but it is also a requirement of the Civil Contingencies Act 2004, which made it a statutory duty of all Category 1 responders (which includes local authorities) to have in place business continuity plans.
17. To help comply with the Civil Contingencies Act, the council uses guidance contained within BS ISO 22301:2012 'Business Continuity Management Systems', which specifies the requirements to implement, maintain and improve a management system to protect against, reduce the likelihood of the occurrence of, prepare for, respond to and recover from disruptions when they arise.
18. Currently, the council has separate policies and strategies for Emergency Planning and Business Continuity Management. These are being merged together to provide a comprehensive, joined up Policy and Strategy which together will set out the council's commitment and approach to Emergency Planning and Business Continuity Management and the framework for directorates and services to develop, implement and maintain resilience arrangements for their services and functions. The Risk Management Policy and Strategy remain separate as not all risks are of a resilience nature.
19. Key plans and documents
20. Underpinning the risk and resilience policies and strategies are the following key plans and documents:
- Corporate and directorate risk records are maintained on the council's Risk Management SharePoint site. These records are an essential information tool for documenting the risks, their ownership, assessment and how they are being managed. The details of each risk held on the site include: risk title and description, ownership responsibilities, current risk rating (based on probability and impact scores), the sources of the risk, the consequences (impact) should the risk arise, existing controls in place to manage the risk and any further action required to treat the risk. The format of the risk information on the site helps ensure that a consistent level of information is provided to explain what the risk is and how it is being managed.

- A Partnership Governance and Risk checklist is available for use by council services to help ensure that potential risks are covered during discussions about working with partner organisations. The checklist helps highlight any significant gaps in the control framework for the partnership, so that these can be addressed, and action taken to mitigate future problems. The guidance on how to use the checklist is also available on InSite.
  - The Specific Emergency Plans and Incident Response Plan are maintained on the council's Resilience and Emergencies Microsoft Teams site. These specific emergency plans outline the authority's response to an identified risk occurring and the measures put in place to mitigate the impact on those people affected. The Incident Response Plan details internal and external key contacts and supporting documents for strategic and operational officers. The Resilience and Emergencies site includes functionality for the notification of any changes in the key contacts.
  - Over 80 Business Continuity Plans covering the council's critical services. The Business Continuity Plans are documented procedures that guide services to respond, recover, resume and restore continuity of the services and functions in the event of an emergency or disruptive incident. The key areas included within the plans cover loss or disruption to: staff resources; buildings and work environment; information communications technology; data; and suppliers and contractors.
  - The risk and resilience arrangements take into consideration the National Security Risk Assessment, published by the Cabinet Office. The National Security Risk Assessment identifies and assesses the most serious risks facing the UK and is used to determine the common consequences of these risks occurring. The Assessment is produced using a rigorous and tested methodology that incorporates best practice to provide a common framework for understanding risk. The National Security Risk Assessment supports operational risk management, planning and responses in all tiers of the UK resilience system and also serves as a framework for strategic risk management decision making. The most recent edition, published in October 2022, contains risks covering aspects such as terrorism, cyber-attack, major social care provider failure and various types of adverse weather. The Assessment is also used to inform the more local West Yorkshire Community Risk Register, and together these inform the review and update of the council's corporate risks on City and Council Resilience and emergency planning arrangements.
21. Financial risks are included within both the corporate and directorate risk registers with updates also provided to Executive Board and Full Council through the budget reports and to Executive Board through Medium-Term Financial Strategy reports.
22. The Incident Response Plans and Business Continuity Plans are held in electronic form on the Resilience and Emergencies Microsoft Teams site which provides a central location for the documents so they can be quickly accessed in the event of a disruptive incident. An additional copy of each plan is held on the externally hosted Resilience Direct site, which can be accessed if the council network becomes unavailable. Where considered necessary, copies of the plans can be held on encrypted memory sticks and in hard copy format.
23. Roles and responsibilities
24. The Civil Contingencies Act 2004 imposes a clear set of roles and responsibilities on those organisations with a role to play in preparing for and responding to emergencies. The Act requires all Category 1 responders to maintain plans to ensure they can continue to exercise

their functions in the event of an emergency so far as is reasonably practicable (Business Continuity Management). The maintenance of plans to prevent emergencies and reduce, control and mitigate the effects of an emergency, should it occur, are also Category 1 responder duties under The Act (Emergency Preparedness).

25. The council's Strategy and Improvement Service leads on the authority's central risk management, emergency planning and business continuity functions. Responsibility is further split between two functions within the service: Intelligence and Policy (risk management and business continuity management) and the Resilience and Emergencies Team (emergency planning). As seen in the Effectively Embed section of this report, there are close working arrangements between the two teams. Both teams report to the Director of Resources and the Chief Officer (Strategy and Improvement), who together have strategic responsibility for the risk and resilience functions.
26. Central **risk management** responsibilities include: maintaining the council's Risk Management Policy and Strategy, maintaining the Corporate Risk Register, co-ordinating the quarterly updates and reporting of corporate and directorate risk registers and facilitating risk management training and workshops.
27. **Emergency Planning** responsibilities include: maintaining the council's Emergency Planning Policy, maintaining emergency plans, warning and informing businesses and residents of Leeds of ongoing or expected incidents, development and delivery training and exercises to ensure emergency arrangements are validated. The Resilience and Emergencies Team provide emergency planning capacity "24/7" so that emergencies can be responded to at all times including 'out of hours'.
28. **Business Continuity** Plans are owned and maintained by the respective critical services within the five council. The Intelligence and Policy Service's Business Continuity Management responsibilities are: providing guidance and support to service managers across the council on matters such as the development of new business continuity plans and their annual review and update and facilitating exercises with services to test their plans. Business Continuity Management guidance and advice can also be provided to external organisations if requested.
29. The roles and responsibilities across all three areas include the delivery of training and the production of a range of risk and resilience reports for internal stakeholders, as detailed in the Clearly Communicate and Meaningfully Monitor sections of this report.
30. The main roles and responsibilities for risk and resilience within the council are:

Entity	Roles and responsibilities
<b>Elected Members</b>	
Executive Board, Council Leader and Deputy Leader	Ultimate responsibility for ensuring that the council has effective risk management arrangements lies with the Executive Board. Executive Board approve the risk management policy, strategy and framework and receives an annual update on this work from the Director of Resources which includes a summary of how

Entity	Roles and responsibilities
	<p>the corporate risks are being managed. Executive members also have a key role in identifying the risks associated with the delivery of the council's priorities and to discuss these with the relevant director(s).</p> <p>The Board provides appropriate challenge to strategic decision-making and ensures that satisfactory consideration is given to the risk management implications of strategic priorities and all major business change proposals.</p> <p>Executive Board has high-level decision-making responsibility for business continuity management with this authority delegated to the Director of Resources.</p> <p>The Council Leader has responsibility for setting, supporting and monitoring the council's policies and procedures for risk and business continuity. The Deputy Leader has responsibility for the council's city-wide resilience and emergency planning functions. As with all executive delegations to officers, the portfolio holder may require, or the director may choose, to refer a risk and resilience matter to the Executive Board.</p>
Corporate Governance and Audit Committee	<p>The Corporate Governance and Audit Committee is responsible for reviewing the adequacy of the council's governance arrangements, including risk management. The Committee receives an annual assurance report on our risk management arrangements from the Director of Resources and uses this to monitor, review and scrutinise these arrangements and their implementation. Furthermore, the Committee can provide challenge on the arrangements to manage specific risks and reviews the Risk Management Policy and Strategy.</p> <p>The Committee approves the Annual Governance Statement which incorporates arrangements in relation to risk and resilience.</p>
Scrutiny Boards	<p>Scrutiny Boards ensure that risk management is given appropriate consideration within their areas of responsibility and can also bring potential risks to the attention of the appropriate Director.</p>
Elected Members	<p>All Elected Members have a responsibility to understand the council's risk management arrangements and the strategic risks facing the authority. Elected Members are responsible for properly considering the risk implications during decision-making and policy approval, particularly where the decision may have resource implications, an impact on the authority's strategic priorities or propose a service change.</p> <p>Elected Members' awareness of civil protection and emergency preparedness arrangements contributes to the successful outcomes of an emergency incident and ultimately, the return to normality. A Council Yearbook is provided to all Elected Members which outlines contact information, communication flows and what to expect in an emergency.</p>

Entity	Roles and responsibilities
<b>Council staff</b>	
Corporate Leadership Team <sup>6</sup>	<p>The Corporate Leadership Team (CLT) has responsibility for ensuring that there are appropriate arrangements in place to manage risks, emergencies or disruptions, both those within their respective directorates and with a cross-cutting or wider impact.</p> <p>Members of CLT are collectively responsible for ensuring that all strategic risks are effectively managed by reviewing the corporate risk register each quarter, whilst individual directors take ownership of specific risks.</p> <p>CLT is ultimately responsible for ensuring that the council has effective and appropriate arrangements in place at a corporate level to manage emergencies or disruptions which affect multiple services. They are responsible for the strategic management of incidents with a cross-cutting or wider impact. This may necessitate managing an incident which affects both the community and the council's ability to deliver its own services simultaneously and may require the activation of the Incident Response Plan.</p> <p>CLT members make up the Strategic level of the council's response structure (see in the table at point 31) and offer direction to staff at Operational level.</p>
The Director of Resources	<p>The Director of Resources has specific responsibility for providing assurances to the Executive Board and the Corporate Governance and Audit Committee on the adequacy of our risk management arrangements. In addition, the Director of Resources holds delegated authority to approve changes to the Risk Management Policy on behalf of the Executive Board and acts as the 'officer risk management champion.'</p>
Directorate Management Teams (including Senior Managers)	<p>Directorate Management Teams<sup>7</sup> includes ensuring that the risk and resilience arrangements are in place within their services. This includes arrangements for identifying and managing risks in relation to projects, programmes and partnerships within the service in accordance with the council's Risk Management Policy and contributing to the regular updating and review of risk registers at corporate, directorate and service levels. They also ensure risks are escalated to the appropriate level of risk register where they can be properly managed and that proportionate risk assessments are contained within reports requiring a decision. Senior managers are also responsible for identifying the risk management training needs of their staff.</p>

<sup>6</sup> Corporate Leadership Team consists of the council's Chief Executive and Directors, supported by Chief Officers with statutory roles including the Director of Public Health, Chief Financial Officer (Section 151) and City Solicitor.

<sup>7</sup> Directorate Management Teams consist of the relevant Director and Chief Officers and meet regularly to discuss issues affecting the directorate and its services. Other staff e.g., Heads of Service may be required to attend DMTs for specific items.



Entity	Roles and responsibilities
	<p>Responsible for ensuring that critical services or functions within the directorate are identified and that suitable arrangements are developed, implemented and maintained to plan for and respond to emergencies and disruptions.</p> <p>Develop Business Continuity Plans and ensure they are fully implemented including staff awareness of their business continuity roles and responsibilities. Ensure annual reviews are completed and that Business Continuity Plans are maintained to reflect current practice.</p> <p>Ensure that testing and exercising of Business Continuity Plans and Incident Response Plans is carried out robustly and that any findings are acted upon in the spirit of continual improvement.</p> <p>Where necessary, some directorates have service teams that meet to discuss and review business continuity management and emergency planning matters at a more operational level. Any significant matters arising from the service teams meetings are escalated to the Directorate Management Team for further discussion and action.</p>
Strategy and Improvement Service	<p>Central responsibility for Risk Management, Emergency Planning and Business Continuity Management falls under the Strategy and Improvement (Intelligence and Policy, and Resilience and Emergencies Team), as seen at point 25 above.</p>
All staff	<p>All staff have a duty to consider the risks to the achievement of their day-to-day objectives and the council's outcomes and priorities. They should also ensure that any risks which they cannot manage or that have a wider impact are escalated to their managers.</p> <p>Staff have a responsibility to obtain a basic level of business continuity and emergency planning/response awareness through briefings and training. This extend to understanding their roles and responsibilities during an emergency or incident.</p> <p>Staff may be required to participate in exercising and testing resilience plans relevant to their service area.</p>



31. The general roles required for risk, emergency planning and business continuity are seen in the table below:

Role	Responsibilities
<b>Risk Management</b>	
Risk owner	The person who is responsible and accountable for the risk. This should be someone with knowledge of the risk area and sufficient seniority to enable them to allocate resources to manage the risk and to ensure that actions required to treat it are completed.
Delegated risk owner	The risk owner may allocate someone else, of appropriate seniority and who is perhaps closer to the service to which the risk relates, to oversee the risk on their behalf. The delegated risk owner reports progress in managing the risk to the owner.
Key contact	A person responsible for the day-to-day management of the risk and who reports to the delegated owner.
<b>Emergency Planning</b>	
The council operates a command structure which is in line with JESIP: the joint doctrine of interoperability framework. Historically the council used a “Gold, Silver and Bronze” structure for the different response levels, which has recently been replaced with “Strategic, Tactical and Operational” as seen below	
Strategic level co-ordinating group	Sets the strategic direction, co-ordinates responders and prioritises resources
Tactical level co-ordinating group	Interprets the strategic direction, develops the tactical plan and activities and assets
Operational level – responder organisations	Implements the tactical plan, commands the single organisation response and co-ordinates actions
Single points of contact	<p>Governance Managers within each directorate act as single points of contact for key officers listed within Business Continuity Plans and the Incident Response Plan. The single points of contacts ensure that</p> <ul style="list-style-type: none"> <li>• data protection requirements are obtained for all contacts listed</li> </ul>

Role	Responsibilities
	<ul style="list-style-type: none"> <li>amendments are made in the Resilience and Emergencies Microsoft Teams site to ensure that key contact details remain up to date</li> </ul>
Key stakeholders	All contacts listed within the Incident Response Plans are identified as being key stakeholders. These operational level officers would activate the tactical level response that their service or team can offer to support the incident management.
<b>Business Continuity Management</b>	
Business Continuity Plan Owner	The person responsible for the Business Continuity Plan and who will activate it should a disruptive event occur. The Plan Owner is usually Chief Officer or Head of Service.
Business Continuity Plan Key Contact	The Key Contact has responsibility for the day-to-day administration of the Business Continuity Plan including its annual review and update. There may be more than one Key Contact for each plan.

### 32. Democratic Oversight

33. The corporate risk register continues to house those risks of significant, cross-cutting importance that require the attention of the council's most senior managers and elected members. Each of the corporate risks has named risk owners - a lead portfolio member and a member of the Corporate Leadership Team, who are jointly accountable for their management. The Executive Board as a whole retains ultimate responsibility. Full details of the CLT and Democratic accountability for the corporate risks can be seen in Appendix 2 of this report.
34. In addition to the democratic accountability, further oversight is provided via this annual report on the Risk and Resilience<sup>8</sup> arrangements to the Corporate Governance & Audit Committee. From this report, the Committee gains assurance that the arrangements are fit for purpose, up to date and routinely complied with.
35. The [Annual Corporate Risk Report](#) (agenda item 13) to Executive Board includes assurances for two corporate risks that relate to business continuity management and emergency planning, City Resilience and Council Resilience. The assurances include details of what the risks are, the main controls in place to manage them, any further work required and signposting to additional relevant information and reports. The Annual Corporate Risk Report is also provided to the Strategy & Resources Scrutiny Board.

<sup>8</sup> In previous years, the Committee received separate annual assurance reports on Risk Management and Business Continuity Management

## Clearly Communicate

### 36. Guidance and information

37. The main source of **risk management** information and guidance within the council is the Risk Management toolkit InSite page, As well as containing a copy of the Policy and Strategy, the toolkit contains links to related documents (including the Annual Risk Report to Executive Board), guidance notes (e.g., 'What are risks?'), Frequently Asked Questions, key contacts and relevant external risk websites. As seen in point 20 above, details of all corporate and directorate level risks are maintained on the Risk Management SharePoint site.
38. The latest corporate risk map continues to be published internally on InSite and externally through the leeds.gov website with annual reports to Executive Board on the council's most significant risks also publicly available.
39. The main source of **Emergency Planning** information and guidance within the council is the Resilience and Emergencies Teams site. Membership of this site is determined by stakeholder role, if a person or job role has a role and/or responsibility in any Incident Response Plan activation. The Incident Response Plan and Specific Emergency Plans, training documents, supporting documents and link to incident management page are all contained within this site.
40. The [Resilience and emergency planning INSITE](#) and Leeds.gov [Emergencies](#) page contain more generic information on Emergency Planning, the latter including information on risks, how to prepare for an emergency and flooding.
41. The main source of **Business Continuity** guidance and information within the council is the [Business Continuity Management toolkit](#), seen on InSite. The toolkit comprises the Business Continuity Policy and Strategy, guidance and templates for completing Business Continuity Plans, and links to sources of relevant information such as the Community Risk Register. Information on Business Continuity Management is also available externally on Leeds.gov as part of information on 'how to prepare your business for an emergency'.
42. Earlier in 2022, the Intelligence and Policy Manager was part of a team that collaboratively reviewed and updated ALARM's Business Continuity Back to Basics guidance document. The guide aims to support users by firstly raising awareness and understanding of the concepts around business continuity management, and secondly providing guidance on how to approach the implementation of a business continuity management programme within their organisation. A copy of the Back to Basics guidance is available via the council's Business Continuity Insite page and aspects of it are incorporated into staff training and development.
43. The internal Resilience and Emergencies Teams site is used to house and administer the Incident Response Plans and Business Continuity Plans and the Risk and Resilience Reports for Directorate Management Teams. The Business Continuity Management section of the site includes guidance on how to complete a Business Continuity Plan for a service and a blank template ready to be populated.

44. The email addresses [businesscontinuity@leeds.gov.uk](mailto:businesscontinuity@leeds.gov.uk) and [Emergency.planning@leeds.gov.uk](mailto:Emergency.planning@leeds.gov.uk) are available for staff, Elected Members and the public to get in touch with the council regarding emergency planning and business continuity matters. Leeds Alert is a text alert network managed by the Resilience and Emergencies Team that targets the businesses of Leeds. Leeds Alert is a free of charge service in which recipients will receive a text message outlining hazards and threats facing the city e.g. severe weather, road closures, industrial action, demonstrations etc. The Resilience and Emergencies Team also maintain the [@leedsemergency](https://twitter.com/leedsemergency) twitter account which currently has 8,399 followers, which warns and informs in the same way as Leeds Alert. The email addresses, Leeds Alert and the twitter account are publicised on the [Prepare your business for an emergency](#) page on the council's Leeds.gov website.
45. The Resilience and Emergencies Team have a "24/7/365" on call rota so that they can receive phone calls (via the LCC Contact Centre) about emergencies at any time.
46. Training: Risk Management
47. Risk Management training, tailored to suit the needs of the service requesting it. The scope of the training usually includes what risk is, the benefits of risk management, how to identify and assess risks, options for treating risks, how to develop and maintain a risk register and risk reporting arrangements. One to one training sessions are also available on how to use the Risk Management System to administer corporate and directorate risks.
48. During the past year, risk management training has notably been provided to the Internal Audit Service and to the Corporate Governance and Audit Committee.
49. Risk management workshops continue to be offered to council services. The objectives of the workshops generally involve the identification, assessment and treatment options for risks facing a service, project or business initiative. Workshops usually incorporate an element of refresher risk management training.
50. The Risk Management Strategy recognises the importance for elected members and staff develop a knowledge and general understanding of risk management. Risk management training can also be combined with Emergency Planning, Business Continuity Management and the Best City Ambition.
51. Training: Emergency Planning and Business Continuity Management
52. Following the Resilience and Emergencies Microsoft Teams site going live in December 2021, training was offered to the site users by way of 17 virtually delivered sessions. In January 2022 a further 8 sessions were delivered to advise how members access the Resilience Direct back-up site. The Resilience and Emergencies Team are currently carrying out call-out testing and offering refresher training on how to use the Resilience and Emergencies Teams site. This refresher training is scheduled to be delivered via a series of five sessions scheduled for the week commencing 12<sup>th</sup> December 2022.

53. **Emergency Planning** training focuses on how to use the Resilience and Emergencies Microsoft Teams site to effectively manage an emergency incident.
54. **Business Continuity Management** training includes the reasons for undertaking business continuity management, the purpose of business continuity plans and how to produce one. During 2022, this type of training has been provided to the council's Contact Centre, Environmental Services and Adult Social Care Integrated Commissioning. Training is also available on how to use the Resilience and Emergencies Microsoft Teams site to upload and update Business Continuity Plans.
55. Business continuity training can take the form of one-to-one assistance or workshop style events to support the completion of business continuity plans. During 2022, assistance and training continued to focus on completing the updated Business Continuity Plan template, introduced at the end of 2021
56. Training is available to facilitate short desk top based exercises to test both the business continuity plans and staff in a range of disruptive scenarios. Such exercises help with staff familiarisation of the plan's content. The outcomes from exercises informs the future update and development of the business continuity plans. During 2022, desk top exercises have been conducted with the council's Housing Service and the Contact Centre.
57. Plan exercises
58. The Local Resilience Forum (see point 65 below) leads on, and facilitates, a comprehensive exercise programme to test the various plans and arrangements to deal with disruptive incidents and emergencies. Following the lifting of Covid restrictions earlier in 2022, these "in person" exercises recommenced, with representatives from Leeds City Council taking part in the following:
- Exercise LEMUR (19 May): The impacts of a national power outage
  - Exercise Bloodbeat (7 June): A Counter Terrorism Policing North East Strategic event, focussing on consequence management post terrorist attack
  - Exercise Aestus Rose (29 June): Service actions following a heatwave warning and prolonged periods of extreme heat
  - Exercise LARGO (30 June): The impacts of a terrorist event at a railway station
  - Gold Symposium (13 July): A strategic level event offering professional development with the focus on operational response and recovery
  - Strategic Exercise (29 September): The impacts of a Marauding Terrorist Attack
59. Learning from these exercises is documented and reflected in the work of the Local Resilience Forum and feeds into the council's risk and resilience arrangements and plans.

## 60. Leadership

61. The Risk Management Policy is endorsed by both the Leader of the Council and the Chief Executive, demonstrating the ‘tone from the top’ about the important role that risk management plays within the council. The joint Emergency Planning and Business Continuity Management Policy currently in development (see Review and Refine section below) intends to have the same endorsement.
62. As detailed in the roles and responsibilities section of this report, members of Executive Board and the Corporate Leadership Team receive risk management reports during the year, and they can request updates on specific risk and resilience matters from the Strategy and Improvement Service or relevant directorate leads. In Spring 2023, all Executive Board Members were offered the opportunity to have a one to one briefing with the Intelligence and Policy Manager on the corporate risks, prior to the finalisation of the Annual Corporate Risk Report.

## Effectively Embed

## 63. Stakeholder engagement

64. Key internal risk and resilience stakeholders have been identified (see roles and responsibilities table at point 30 above) and are recorded across in a series of documents and reports:

<b>Risk Management</b>	Risk Management Policy and Strategy Corporate and directorate risk records maintained on the Risk Management SharePoint site Risk registers reported to Directorate Leadership Teams and CLT The Annual Corporate Risk Report to Executive Board
<b>Emergency Planning and Business Continuity Management</b>	Emergency Planning and Business Continuity Management Policy and Strategy Incident Response Plans Business Continuity Plans

65. Stakeholder engagement is via a range of methods that demonstrate both a ‘top-down’ and ‘bottom-up’ approach:
66. External stakeholders are mainly those who attend the Local Resilience Forum, [West Yorkshire Prepared](#), which has responsibility for co-ordinating the actions and arrangements between responding services to prepare for and respond to civil emergencies when they occur. Stakeholders include representatives from West Yorkshire local authorities, West Yorkshire Police, Fire and Rescue Service, Yorkshire Ambulance Service, the British Transport Police, the military, Utilities and Health partners. At strategic level, Leeds City Council is represented by the Chief Officer for Strategy and Improvement (whose remit includes risk and resilience) and at operational level by

members of the Resilience and Emergencies Team and the Intelligence and Policy Manager. The Local Resilience Forum meetings take place quarterly supplemented by regular exercises to test the plans.

67. Other external stakeholders include members of the public and businesses, with which the council has a duty to warn and inform of ongoing or expected incidents (see point in 44 Clearly Communicate above).
68. At the start of the quarterly internal risk and resilience report cycle, meetings take place between the staff with responsibility for administering the risk updates across all council directorates. The agenda for these meetings covers any issues arising from the risk management process, horizon scanning of risk topics in the news, and sharing best practice on how risks are administered and reported. The scope of the meetings is to be expanded to include a representative of the Resilience and Emergencies Team so that items relating to emergency planning and preparedness can be discussed and reflected in the reports.
69. The stakeholders are regularly reviewed and updated to keep track of changes due to staff turnover. Additionally, the Resilience and Emergencies Teams site includes functionality to inform the site owners of any changes to the owners and key contacts for the plans i.e. new starters and leavers.
70. Regular meetings take place between the Intelligence and Policy Manager and the Head of Internal Audit to share information on:
- Emerging themes from Internal Audit reviews and reports regarding control weaknesses / failures and risks arising
  - Feedback to Internal Audit on any new risks/risk areas identified and any changes to existing risks
  - Specific risk and resilience work carried out, including risk workshops, plan exercises and training delivered
71. Meetings take place (usually weekly) between the Resilience and Emergencies Team Manager and the Intelligence and Policy Manager to review and discuss work including:
- Organisational resilience preparedness
  - Items to include in the routine risk and resilience reports to directorates, committees and boards
  - Exercising and testing the organisations plans
  - Consideration of information cascaded to the council e.g. updates to the National Risk Register
72. Directorate Management and service team meetings provide the main opportunities to discuss risk and resilience aspects relevant to their areas such as new and emerging threats, feedback from the Local Resilience Forum, consideration of lessons learned from exercises and the external and internal testing of incident response and business continuity plans. Recent examples of this engagement include reflecting on the National Heatwave Emergency and Operation London Bridge<sup>9</sup>.

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<sup>9</sup> Operation London Bridge was the funeral plan for Queen Elizabeth II. The plan included the announcement of her death, the period of official mourning, and the details of her state funeral.



73. The Intelligence and Policy Manager is a member of professional bodies: the [Institute of Risk Management](#) and [ALARM](#)<sup>10</sup>, both of which include risk and resilience within their remit. Through actively participating in Continuing Professional Development, such as attending seminars and conferences hosted by ALARM, the Intelligence and Policy Manager can keep informed of developments in risk and resilience matters.
74. Clear systems and processes in place
75. Systems for risk and resilience are well established across the council, supported by reporting timetables, and are very much “business as usual” within services. Details of the timetables are made available to staff via the Resilience and Emergencies Teams site.
76. Risk updates are administered via the Risk Management System SharePoint site (see point 20 in Define and Document), with each individual corporate and directorate risk having its own document on the site. Key contacts are required to update the risks with progress comments and any changes to the risk details e.g. ownership, rating, controls and actions. Following the adoption of the Best City Ambition earlier in 2022, the risks were reviewed to ensure they remain properly aligned to corporate objectives.
77. The Incident Response Plan and specific Emergency Plans on the council’s Resilience and Emergencies Microsoft Teams site is maintained by the Resilience and Emergencies Team with assistance from Directorate Governance Managers. The teams site has a ‘notification alert’ button, that members can use to advise of contact number or personnel changes that need to be reflected in the plans. Changes are required to be reflected in the system within 48 business hours of notification.
78. Gathering and reporting risk and resilience information is a key function of the Resilience and Emergencies Team and the Intelligence and Policy Service, and this is reflected in the workplans for the services and those of individual members of staff. Although these systems and procedures are considered to be fit for purpose, they are not static and can be adapted as needed according to changing circumstances.

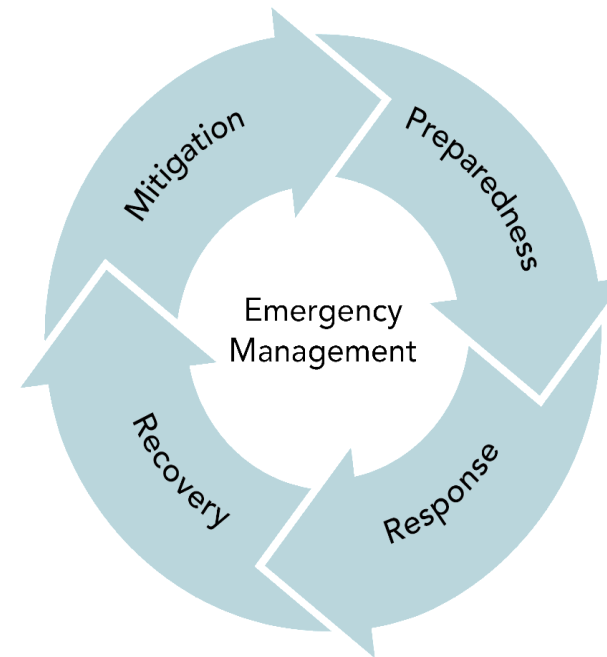
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<sup>10</sup> ALARM is a risk management organisation that develops industry leading best practice for those managing risk and insurance

## Meaningfully Monitor

### 79. General

80. The need to monitor and update risks and plans is a key part of the Risk and Resilience Process, illustrated in the following two diagrams for Risk Management and Emergency Management:



81. Emergency planning and Business Continuity Management are aligned and linked into the Risk Management process seen above, specifically how risks and threats of a resilience nature are identified, assessed, managed and reported.

82. Routine reporting takes place on risk and resilience matters as follows:

- Corporate and directorate risks are reported to Directorate Management Teams and CLT
- Joint Emergency Planning and Business Continuity Reports are reported to each Directorate Management Team at the same meeting as the risks are reviewed.
- During 2022, a 'Risk and Resilience' report covering the three areas of risk, emergency planning and business continuity management was piloted with the Children and Families Directorate. The format for this joined up report is being rolled out across

the other council directorates to replace the risk reports as it presents a comprehensive picture of risk and resilience matters and avoids duplication

83. Corporate and directorate risks are reviewed quarterly by the key contacts and risk owners to ensure the risks are kept 'live' and they promptly reflect the controls and actions taken to mitigate or manage them. Intelligence and Policy staff check the details for each risk on the Risk Management SharePoint site to confirm whether they have been reviewed and updated that quarter and follow up any that have no evidence of being updated. The risks are reported in the first instance to the relevant directorate management teams. Corporate risks are reported to Corporate Leadership Team for collective review and discussion.
84. Members of Intelligence and Policy Manager and Resilience and Emergencies Teams attend meetings to present the reports and answer questions on their content.
85. Representatives from the Resilience and Emergencies Team and Intelligence and Policy attend Service Management Teams to discuss operational risk and resilience matters e.g., training requirements, business continuity plan updates, incident feedback and the testing and exercising of plans.
86. 'Being open, honest and trusted' is one of the Council Values and this includes the reporting and constructive discussion of risk and resilience at all levels. Decisions are required to be made with proper consideration of risks, including:
- potential new risks and threats identified are raised and reported to the relevant level for consideration
  - when risks are increasing in significance, or showing other early warning indicators, they are escalated to the correct level to enable decisions about how to manage/mitigate them to be made
  - lessons learned from significant control failures and 'near misses' are identified and discussed
  - services and directorates are able to raise matters about areas where improvement is required and report the actions being taken so that a collective discussion can take place to identify any further solutions
87. The standard to which the council aligns development of business continuity is BS EN ISO 22301: 2019 'Business Continuity Management Systems Requirements'. The standard specifies the structure and requirements for implementing and maintaining a business continuity management system. The standard (paragraph 9.1) 'Monitoring, Measurement, Analysis and Evaluation' sets out guidelines to assist organisations.
88. An annual review process of the critical service business continuity plans is coordinated by Intelligence and Policy Service and supported by the Directorate Management Teams. Key contacts are reminded to review and update their plans at least annually, with details of any changes e.g. to the roles and responsibilities, contact details and amendments to how the service would deal with the different types of disruptive incidents.

#### 89. Risks identified and mitigated

90. The council's Corporate Risk Register contains a range of strategic, cross-cutting risks including a number linked to emergency planning and business continuity management: 'City Resilience', 'Council Resilience', 'Major cyber-incident' and 'Major Flooding'. The details in the Risk Management System include existing controls in place to mitigate against the risks and any further actions required. It is noted that the corporate risks include those of a non-resilience nature.
91. New risks are identified from a variety of internal and external sources including Directorate Management Team meetings, Corporate Leadership Team, from conversations with services, through horizon scanning, and via the Local Resilience Forum. Arrangements are in place for the Contact Centre to act as a barometer for the problems the public is experiencing with council services, and feedback and escalation processes have been established so risks that are identified through this channel are appropriately captured and mitigated.
92. The work of Local Resilience Forum informs the review and update of the council's corporate risks on City Resilience and Council Resilience, derived from the National Security Risk Assessment and the Community Risk Register (point 20 in Define and Document). The Community Risk Register forms the basis of multi-agency emergency planning, with each risk in the register having its own risk assessment. The risks contained within the register used to inform development of directorate response and recovery capabilities and development of business continuity plans.
93. The guidance and template for council Committee and Executive Board reports for decision making was reviewed and updated earlier in 2022. The new template maintained the requirement for report authors to detail the key risks relevant to their report and how they are proposed to be managed. The Intelligence and Policy Service has the opportunity to review these reports at draft stage, providing feedback to the authors on the risk information.
94. Through membership of the Institute of Risk Management and ALARM, the Intelligence and Policy Manager is able to attend seminars and networking events at which new and emerging risks are discussed.
95. Development of the business continuity plans considers risk, identifying the threats and hazards that might impact a critical service or function and the arrangements to avoid, mitigate and recover should such risks occur.
96. Additionally, every quarter the Local Resilience Forum requests all partner organisations submit their top three resilience risks, with the results of the submissions fed back for information, circulation and action.
97. Escalation process in place and used appropriately
98. The internal reporting process outlined in the Risk Policy and Strategy facilitates the raising and discussion of new and emerging risks and threats at service and directorate management teams and encourages the escalation of risks to a higher-level risk register where necessary. All Directors have the opportunity to raise prospective risks to Corporate Leadership Team at any time and through routine

quarterly risk reporting. The quarterly risk reports include a prompt asking whether there are any new risks to add and whether any existing risks need to be changed.

99. CLT has the final approval for any new risks proposed for escalation onto the Corporate Risk Register. Should a risk or threat of an urgent nature arise, this can be escalated immediately to the relevant Directorate Management Team and the Corporate Leadership Team for discussion and action as required.
100. The Local Resilience Forum provides an opportunity to escalate, communicate and discuss resilience risks and threats of a regional nature. An example of a risk currently being reviewed by the Local Resilience Forum is the threat of a national power outage.
101. Benchmarking
102. In 2021, a review was undertaken comparing the risks on the council's corporate risk register to those of the other UK Core Cities. The review was useful in that it confirmed the similar nature of the corporate risks on the registers, but also identified differences in the way similar risks are described. A similar benchmarking review is planned for 2023.
103. The opportunity to identify and share incidents of note, lessons learned and good practice between the other West Yorkshire Local Authorities and other partner organisations is facilitated via the Local Resilience Forum.

## Review and Refine

### 104. Legislation and Guidance

105. The council's risk management arrangements support the authority's compliance with the statutory requirement under the Accounts & Audit Regulations 2015 to have 'a sound system of internal control which facilitates the effective exercise of that body's functions and the achievement of its aims and objectives; ensures that the financial and operational management of the authority is effective; and which includes arrangements for the management of risk.'
106. The Civil Contingencies Act 2004 recently underwent a [post implementation review \(2022\)](#). The findings found that whilst the principles in The Act remain broadly effective, two main recommendations were made; to enhance accountability for multi-agency preparedness activities and to update the statutory and non-statutory UK guidance that accompanies The Act. The Resilience and Emergencies Team await further guidance and will make changes, where required, once published.

### 107. Survey of Internal Control

108. In May 2022, the council undertook its annual Survey of Internal Control<sup>11</sup> to provide first line assurance in relation to all key systems of internal control by seeking an assessment from operational managers as to whether the arrangements underpinning the Corporate Governance Code and Framework are working as intended.

109. The Survey included questions relating to the council's Risk Management Policy and approach and Business Continuity Management, including arrangements:

- to identify and record new and emerging risks,
- to develop and review the control assessment for each risk, and
- to report, manage, and where necessary escalate, significant risks
- to develop Business Continuity Plans for the service
- for monitoring, testing and review of business continuity plans.

110. The results, which are set out in the tables below, are summarised as:

- Risk Management results were generally positive; 71% of respondents considered the arrangements to be 'well embedded' and 27% 'fairly embedded'.
- Business Continuity Management results: overall 57% of respondents considered the arrangements to be 'well embedded'; 34% 'fairly embedded'; 2% 'not embedded' and 7% 'don't know'.

111. For both Risk Management and Business Continuity, the results for the Children and Families and City Development Directorates were less favourable than other directorates with higher percentages of 'fairly embedded' than 'well embedded'. In the case of City Development's business continuity management, the result was 22% (6 respondents) for 'don't know'.

112. Comments received from respondents in relation to the Business Continuity results raised issues including the need to test business continuity plans and the impact of reduced staffing resources [on the ability to embed business continuity management]. One respondent commented that not everyone has an involvement in Business Continuity Management (it is noted that there was no 'n/a' option for answers to the survey questions) and this may account for the 'don't know' result of 7%.

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<sup>11</sup> A smart survey conducted amongst senior officers to support the review of internal control underpinning the Council's Annual Governance Statement

Table 1: Risk Management survey results 2022

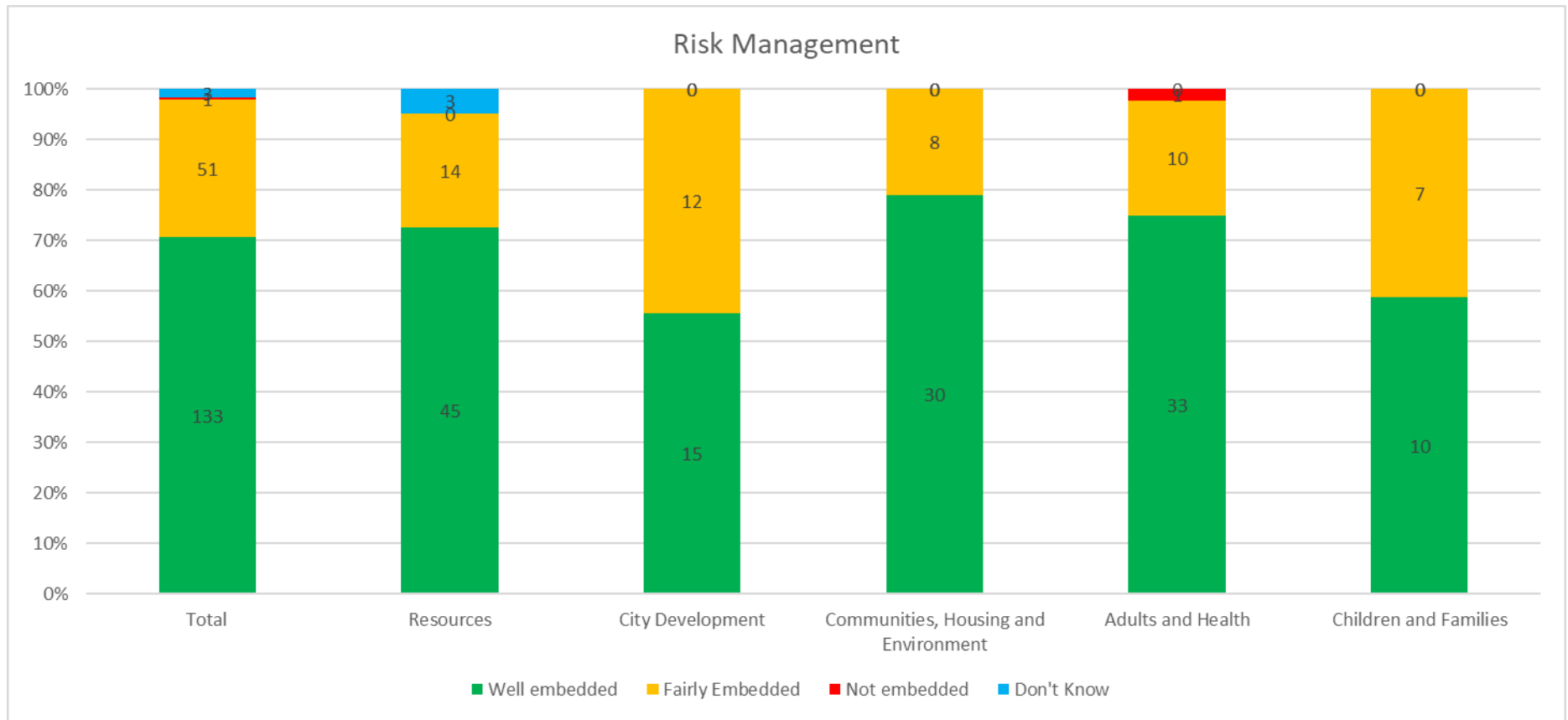
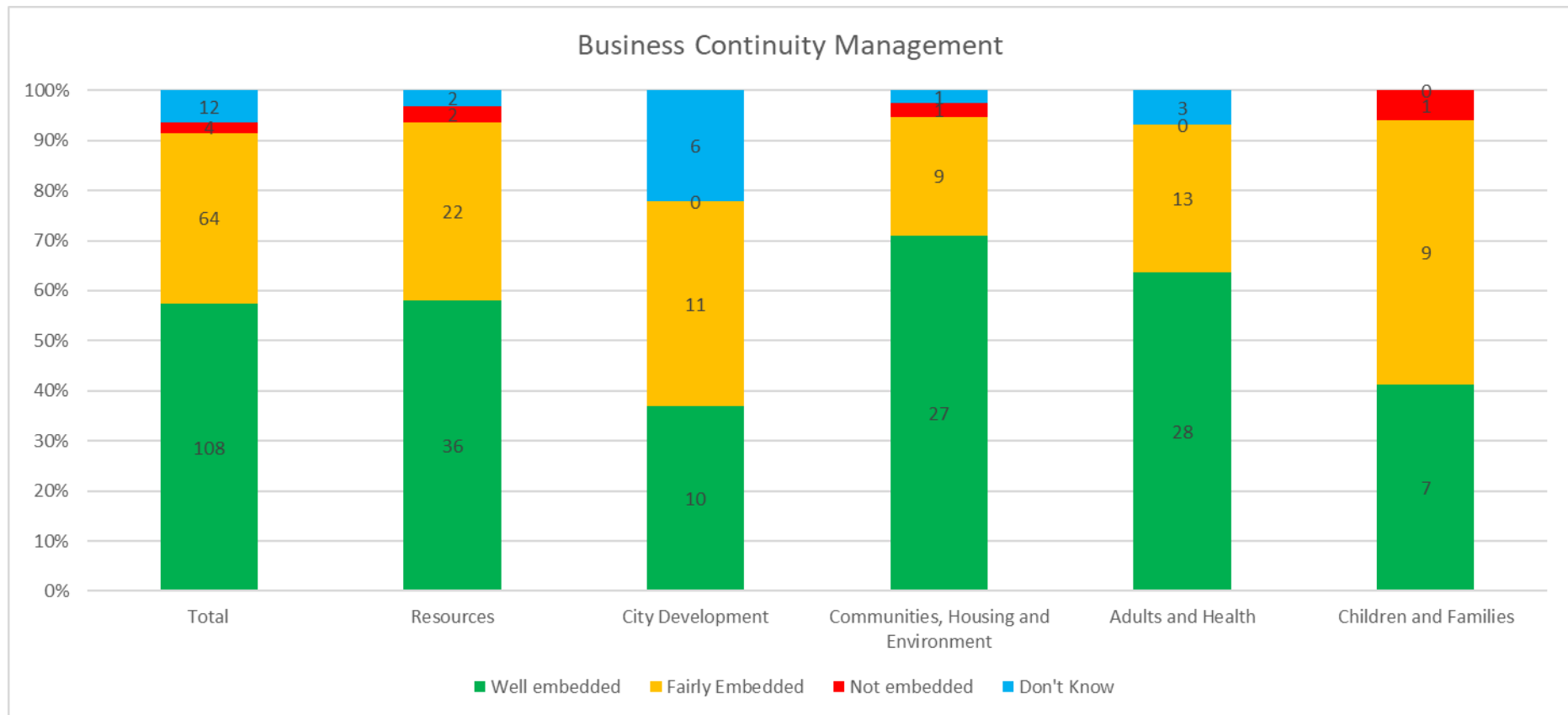




Table 2: Business Continuity Management survey results 2022

113. Across all areas, the percentage of 'fairly embedded' and small number of 'not embedded' responses indicate that more needs to be done to promote risk management and business continuity, especially in Children and Families and City Development directorates. The following actions will aim to improve these results:

- the development and promotion of the joint Emergency Planning and Business Continuity Policy and Strategy
- plans to undertake more business continuity plan testing, which will include an element of refresher training
- the completion of a review of Children and Families Directorate Business Continuity Plans, instigated following updates to the scope of many of the plans and changes in the plan owners and key contacts.

114. Up to date and fit for purpose

115. A key work in progress item is the development of a joint Policy and Strategy for **Emergency Planning and Business Continuity Management**, combining and updating the existing documents for the two areas together. As well as refreshing and setting out the council's commitment and approach to Emergency Planning and Business Continuity Management, the Policy and Strategy will provide up to date and proportionate information along with the roles and responsibilities for dealing with, and responding to, emergencies and disruptive incidents. The update will draw on the latest good practice and legislative and regulatory requirements. Work on the combined Policy and Strategy is scheduled for completion in early 2023 and a cross-council publicity campaign will be developed to promote them.
116. Following a change in management, the Local Resilience Forum is currently re-assessing itself against [The National Resilience Standards](#). These are a set of individual standards intended to establish a consistent and progressive means for Local Resilience Forums and their constituent local responder organisations to self-assure their capabilities and overall level of readiness, and to guide continuous improvement against mandatory requirements, good and leading practice.
117. A public consultation led by Central Government on the [Protect Duty](#)<sup>12</sup> was undertaken in 2021. The [consultation outcome](#) includes an indication of changes to Protect Duty responsibilities including those of local authorities. To manage the changes in Protect Duty arising from the consultation, the council has established a Protect and Prepare Operational group (chaired by the Chief Officer, Safer Stronger Communities), and a Protect and Prepare Tactical group (chaired by the Community Safety Manager). Both these forums are tasked with ensuring that the council has measures in place to mitigate against terrorist incidents in Leeds.
118. There is a need to undertake more testing exercises on the business continuity plans to see how effective they would be in the event of a disruptive incident. The training of additional Strategy and Improvement staff in business continuity management will include how to arrange and facilitate testing the plans.
119. Work is in progress to include questions on the council "movers and leavers" forms to include details of changes to key contacts for the emergency and business continuity plans. This is an important control in case movers and leavers forget to notify the Resilience and use the notification alert.
120. Resurrect the Business Continuity training offer with external organisations and republicise this via Leeds.gov and other networks such as the Local Resilience Forum.
121. The council's Internal Audit Service are currently finalising a review of the Business Continuity Management arrangements. Any recommendations from the review will be actioned at the earliest opportunity.

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<sup>12</sup> Protect Duty comes in the wake of a number of terrorist attacks in public spaces across the UK – most notably, the Manchester Arena bombing. The purpose of Protect Duty is to improve security in public spaces, protecting and enhancing the safety of both visitors and staff.

122. Since the implementation of the Health and Social Care Act (2013) the Resilience and Emergencies Team has worked together with Public Health Teams to ensure that any public health aspects of an incident are included within relevant plans so that they can be responded to effectively. Following disruption caused by the pandemic, work is underway to build back resilience, re-engage with teams and re-embed Emergency Planning in all Public Health aspects of the council's business. The Resilience and Emergencies Team Manager has taken on officer responsibility to attend the Health Protection Board and other health forums. An exercise is underway to recruit a Project Support Officer with Public Health emergency planning responsibilities to replace a member of staff who left during the pandemic.

### 123. Lessons Learnt

124. A key aspect of risk and resilience is learning lessons from disruptive incidents, both those that impacted on Leeds and also other councils and organisations. The aims of lessons learned exercises are to improve our best practice by looking at aspects of response and recovery that that went well and those where improvements can be made. In recent times, lessons learned have been undertaken on:

- The National Heatwave - summer 2022
- Operation London Bridge – the response to the death of HM Queen Elizabeth II (autumn 2022)
- Flooding

125. In the case of lessons learned from severe weather incidents and climate change, a council wide risk and resilience workshop has been scheduled for early December 2022. The workshop will provide the opportunity to:

- Reflect on how these risks and impacts on critical services will differ as Leeds' climate changes, based on 2C and 4C warming scenarios.
- To make critical services aware of existing severe weather plans and their role within them.
- To provide a controlled environment for a review of critical service's planned responses to disruptive severe weather events.
- To consider any medium-long term actions to reduce the vulnerability and exposure of critical services to disruptive severe flooding and heatwave events.
- To provide assurance to corporate leadership that the present (and future) impacts of severe weather events on service delivery is being mitigated, following the recommendations of the council's Climate Adaptation Plan.