

Report of the Director of Resources and Housing

Report to the Executive Board

Date: 25th July 2018

Subject: Annual Corporate Risk Management Report

Are specific electoral Wards affected? If relevant, name(s) of Ward(s):	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are there implications for equality and diversity and cohesion and integration?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Is the decision eligible for Call-In?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Does the report contain confidential or exempt information?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Summary of main issues

1. Our vision as set out in the Best Council Plan is for Leeds to be the best city with the best council in the UK: a city that is compassionate with a strong economy, tackling poverty and inequalities; a council that is efficient and enterprising. A corporate risk is something that, if it occurred, could impact on this vision and our Best City/Best Council ambitions. It is essential that we understand, manage and communicate the range of risks that could threaten the city and the vital services provided by the council, so that we're better placed to prevent them from happening and to reduce the impact on communities, individuals, services, organisations and infrastructure.
2. This annual report updates the Executive Board on the most significant risks currently on the corporate risk register: what they are, assessment of their level of risk, the accountable director and portfolio member risk owners and current and planned arrangements to proactively manage them. The following risks are included:
 - Safeguarding children
 - Safeguarding adults
 - Health and safety
 - City resilience
 - Council resilience
 - Financial management (both the risk to the in-year budget and longer-term financial sustainability)
 - Information management and governance
 - School places

Recommendations

Executive Board is asked to note the annual risk management report and the assurances given on the council's most significant corporate risks in line with the authority's Risk Management Policy and the Board's overarching responsibility for their management.

1 Purpose of this report

- 1.1 This annual report updates the Executive Board on the council's most significant corporate risks and the arrangements both in place and further activity planned during 2018/19 to manage them.
- 1.2 The assurances provided are an important source of evidence for the council's Annual Governance Statement: a statutory requirement for all local authorities to conduct a review at least once in each financial year of the effectiveness of the system of internal control and to include a statement reporting on the review with its Statement of Accounts. Leeds' 2017/18 Annual Governance Statement was approved by the Corporate Governance and Audit Committee on 26th June 2018.

2 Background information

- 2.1 The previous annual corporate risk management report was provided to Executive Board on 17 July 2017. Since then, the corporate risk register has continued to be reviewed and updated in accordance with the council's Risk Management Policy and in line with the Best Council Plan outcomes and priorities. The remainder of this report focuses on the management of the most significant risks currently on the corporate risk register.
- 2.2 It is supplemented by the annual assurance report on the authority's risk management arrangements considered on 26 June 2018 by the council's Corporate Governance and Audit Committee. This report is publicly available and focuses on the policies, procedures, systems and processes in place to manage risks at corporate, directorate, service and project levels. No issues were identified by the Committee.

3 Main issues

- 3.1 The council's risks stem from a variety of sources, many of which are out of our direct control: for example, global events such as an economic downturn, major conflicts or significant environmental events. Closer to home, more localised incidents can impact on communities, individuals, services, organisations and infrastructure. We also often have to respond quickly to changes in government policy and funding and must recognise and meet the evolving needs of our communities, particularly those of vulnerable people. Such changes, and the uncertainties they may bring, can pose threats that we need to address but also bring opportunities to exploit. Both aspects of risk management rely on the council working effectively with partners across the public, private and third sectors and with communities and individuals.
- 3.2 All council risks are managed via a continuous process of identification, assessment, evaluation, action planning and review, embedded at strategic and operational levels and for programmes and projects. All staff and elected members have responsibility for managing risks relevant to their areas, including Scrutiny Boards, Community Committees and partnership boards.
- 3.3 This annual report considers the strategic level: the arrangements in place to manage the council's corporate risks. Corporate risks are those 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 one or more named 'risk owner(s)': a member of the Corporate Leadership Team and a lead portfolio member who are accountable for their management. The Executive Board as a whole retains ultimate responsibility.

- 3.4 The nature of risks is that they come and go as the environment changes. However, there are a set of 'standing' corporate risks that will always face the council:
- Safeguarding children
 - Safeguarding adults
 - Health and Safety
 - City resilience (external emergency / incident management)
 - Council resilience (internal business continuity management)
 - Financial management (both the risk to the in-year budget and longer-term financial sustainability¹)
 - Information management and governance
- 3.5 The annual report at Appendix 1 provides detailed assurances on each of these seven risk areas, covering an overview, description of the risks, the latest risk assessment, current arrangements in place to manage them and additional activity planned. There is a further assurance explaining how the authority manages its statutory requirement to provide sufficient school places to the children and young people of Leeds, one of only five 'red' risks (based on a combination of its probability and impact scores) currently on the corporate risk register. Of the remaining four 'red' risks, three are 'standing' risks and thus have their own detailed assurances. The final 'red' risk relates to a major cyber incident: information on how this risk is managed is contained within the two 'standing' risk assurances on 'Council resilience' and 'Information management and governance'.
- 3.6 Appendix 1 also contains:
- An introduction that explains the council's risk management framework and how corporate risks are assessed and managed;
 - The latest corporate risk map approved by the council's Corporate Leadership Team (Chief Executive and directors) on 26th June 2018; and
 - An annexe explaining how all council risks are evaluated in terms of probability and impact.
- 3.7 Additional, more operational assurances for a number of these risk areas are considered each year by a number of committees and boards. These include:
- The council's corporate Governance and Audit Committee which receives assurance reports on the council's business continuity management arrangements, procurement, information governance, and financial planning and management (all most recently reported to the Audit Committee on 16th March 2018) as well as the annual assurance report on the council's overarching risk management arrangements;
 - Safeguarding reports considered by the Leeds Safeguarding Children Partnership, Leeds Safeguarding Adults Board and Safer Leeds;
 - Reports on specific risk areas as requested by Scrutiny Boards – for example, Scrutiny Board Strategy & Resources considered a report on the council's contractual arrangements with Carillion at its February 2018 meeting, incorporating the authority's procurement risk management processes;
 - The Executive Board considered the 'Health, Safety and Wellbeing Performance Assurance report' at its April 2018 meeting.

¹ Please also refer to the report on today's Executive Board agenda updating the Medium-Term Financial Strategy for the period 2018/19 – 2020/21.

3.8 In addition, the council's report template includes a section on 'Risk management', requiring the report authors to detail any key risks and their management – this information then helps inform decisions made, including investment decisions; this applies to all reports to this Board.

4 Corporate Considerations

4.1 Consultation and Engagement

4.1.1 The corporate risk assurances at Appendix 1 have been subject to consultation with key officers, the Corporate Leadership Team and portfolio members.

4.1.2 The arrangements in place to manage the council's risks are embedded and therefore subject to consultation and engagement on an ongoing basis.

4.2 Equality and Diversity / Cohesion and Integration

4.2.1 This is an assurance report with no decision required. Due regard is therefore not directly relevant.

4.3 Council policies and the Best Council Plan

4.3.1 The risk management arrangements in place support compliance with the council's Risk Management Policy and Code of Corporate Governance, through which, under Principle 4, the authority should take 'informed and transparent decisions which are subject to effective scrutiny and risk management'.

4.3.2 Effective management of the range of risks that could impact upon the city and the council supports the delivery of all Best Council Plan outcomes and priorities.

4.4 Resources and value for money

4.4.1 All council risks are managed proportionately, factoring in the value for money use of resources.

4.5 Legal Implications, Access to Information and Call In

4.5.1 The council's risk management arrangements support the authority's compliance with the statutory requirement under the Accounts & Audit Regulations 2011 to have 'a sound system of internal control which facilitates the effective exercise of that body's functions and which includes arrangements for the management of risk.'

4.5.2 The corporate risk map is made publicly available via the leeds.gov website and is also published on the council's Intranet risk management webpage, available to elected members and staff. The annual assurance report considered by the Corporate Governance and Audit Committee on the council's risk management arrangements is publicly available on the leeds.gov website.

4.5.3 This report is subject to call in.

4.6 Risk Management

4.6.1 This report supports the council's Risk Management Policy in providing assurances on the management of the authority's most significant risks.

5 Conclusions

5.1 The corporate risk register describes the council's most significant risks that could impact upon our Best Council Plan ambitions, outcomes and priorities. Robust and

proportionate arrangements are in place to mitigate the risks, considering both the probability of each risk materialising and the consequences if it did.

- 5.2 Assurances on the council's most significant 'standing' risks are given through this annual corporate risk management report and provide an open, comprehensive and important source of evidence for the authority's Annual Governance Statement.

6 Recommendations

- 6.1 Executive Board is asked to note the annual risk management report and the assurances given on the council's most significant corporate risks in line with the authority's Risk Management Policy and the Board's overarching responsibility for their management.

7 Background documents²

- 7.1 None.

² The background documents listed in this section are available to download from the Council's website, unless they contain confidential or exempt information. The list of background documents does not include published works.



Annual Corporate Risk Management Assurance Report

July 2018



Leeds City Council's 2018 Corporate Risk Assurance Report

To achieve the ambitions, outcome and priorities set out in our Best Council Plan, it is essential that we understand, manage and communicate the range of risks that could threaten the organisation and vital council services. This annual report provides assurance on how the council manages its most significant strategic risks.

Contents

Introduction	pp. 1-2
Figure 1: Corporate risk map	p. 3
Corporate risk assurances:	
Safeguarding children	pp. 4-8
Safeguarding adults	pp. 9-13
Health and safety	pp. 14-19
City resilience	pp. 20-26
Council resilience	pp. 27-32
Financial management	pp. 33-39
Information management and governance	pp. 40-46
School places	pp. 47-50
Annexe 1: Risk evaluation matrices	pp. 51-54

For more information on the council's risk management arrangements please contact Coral Main coral.main@leeds.gov.uk or Tim Rollett timothy.rollett@leeds.gov.uk.



Introduction

The council’s risks stem from a variety of sources, many of which are out of our direct control: for example, global events such as an economic downturn, major conflicts or significant environmental events. Closer to home, more localised incidents can impact on communities, individuals, services, organisations and infrastructure. We also often have to respond quickly to changes in government policy and funding and must recognise and meet the evolving needs of our communities, particularly those of vulnerable people. Such changes, and the uncertainties they may bring, can pose threats that we need to address but also bring opportunities to exploit. Both aspects of risk management rely on the council working effectively with partners across the public, private and third sectors and with communities and individuals.

Risk Management Framework

The council’s risks are identified, assessed and managed using six steps:



These iterative steps enable us to:

- Understand the nature and scale of the risks we face.
- Identify the level of risk that we are willing to accept.
- Recognise our ability to control and reduce risk.
- Recognise where we cannot control the risk.
- Take action where we can and when it would be the best use of resources. This helps us make better decisions and deliver better outcomes for our staff and the people of Leeds.

The steps are applied across the organisation through the Leeds Risk Management Framework: at strategic and operational levels and for programmes and projects. The adoption of the framework and compliance with it has helped embedded a risk management culture within the organisation. This report considers the strategic level: the arrangements in place to manage the council’s corporate risks.

Corporate Risks

Defining a corporate risk

Corporate risks are those of significant, cross-cutting strategic importance that require the attention of the council’s most senior managers and elected members. While all members of staff have responsibility for managing risks in their services, each of the corporate risks has one or more named ‘risk owner(s)’: members of the Corporate Leadership Team and a lead portfolio member who, together, are accountable for their management. The Executive Board as a whole retains ultimate responsibility.

Corporate risks can be roughly split into two types: those that could principally affect the city and people of



Leeds and others that relate more to the way we run our organisation internally. An example of a 'city' risk includes a major disruptive incident in Leeds or breach in the safeguarding arrangements that help protect vulnerable people; these are often managed in partnership with a range of other organisations. An example of a more internal 'council' risk is a major, prolonged failure of the ICT network.

How corporate risks are assessed and managed

Each corporate risk has a current rating based on a combined assessment of how likely the risk is to occur – its probability - and its potential impact after considering the controls already put in place. When evaluating the impact of a risk we consider the range of consequences that could result: effects on the local community, staff, the services we provide, any cost implications and whether the risk could prevent us meeting our statutory and legal requirements.

A consistent '5x5' scoring mechanism – included here at Annexe 1 - is used to carry out this assessment of probability and impact which ensures that the risks are rated in the same way. Target ratings are also applied for each risk based on the lowest probability and impact scores deemed viable to manage the risk to an acceptable level given the amount of resources available to deal with it. These are used to compare the gap between 'where the risk is now' to 'how low do we aim for the risk to go' and so help determine whether additional actions are needed to manage the risk down to the target level.

The greater the risk, the more we try to do to manage it if it is in our control and if that would be the best use of resources. The council recognises that the cost and time involved in managing the risk down to nothing may not always be the best use of public money and we factor this in when establishing the target rating and developing our risk management action plans.

Risks are reviewed and updated regularly through horizon scanning, benchmarking and in response to findings from inspections and audits, government policy changes and engagement with staff and the public.

Current corporate risks

The risk map overleaf at Figure 1 summarises the risks on the corporate risk register as at 26 June 2018 and also their ratings based on probability and impact scores.

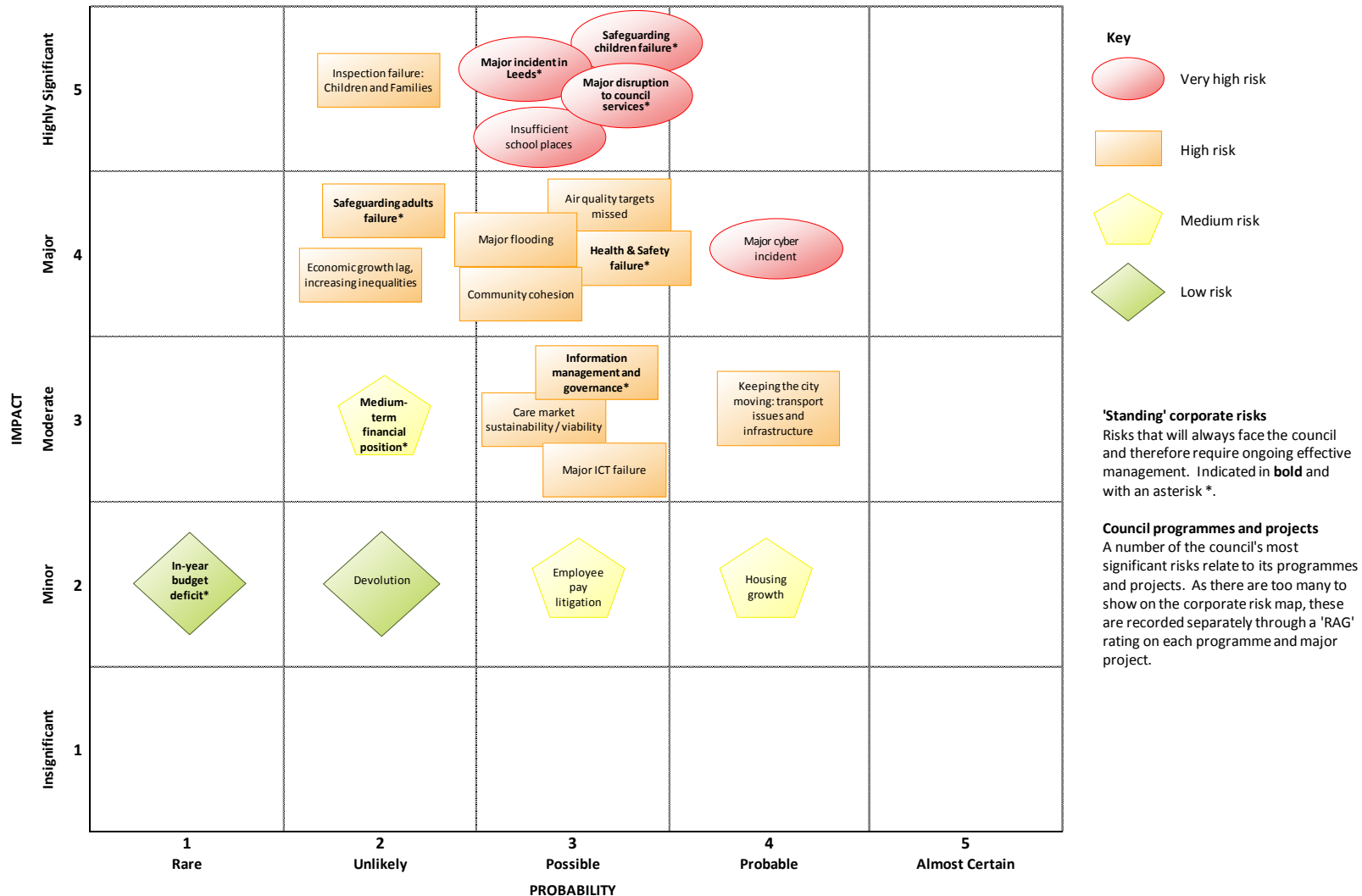
The majority of the risks shown on the risk map will come and go as the environment changes, eliminating the risk or reducing it to a very low level. However, there are a set of 'standing' corporate risks that will always face the council and which are the focus of this report:

- Safeguarding Children
- Safeguarding Adults
- Health and Safety
- City Resilience
- Council Resilience
- Financial Management (in-year and the medium-term)
- Information Management

The remainder of this document discusses these 'standing' corporate risks in more detail, plus an additional risk increasingly of high significance – school places, providing assurance on how the council, often in partnership, is managing them.



Figure 1: Corporate Risk Map at 26 June 2018
Supporting our Best City / Best Council ambitions



Safeguarding Children Corporate Risk Assurance

Overview

Leeds City Council has a legal duty to safeguard and promote the welfare of children. The potential consequence of a significant failure in safeguarding is that a child or young person could be seriously harmed, be abused, or die. Secondary effects of this include reputational damage, legal and financial costs, and management and staffing time. The council is strongly committed to improving the safeguarding of children and young people, contributing directly to our Best Council Plan outcomes, specifically for everyone in Leeds to be safe and feel safe.

Corporate risk: Safeguarding children				
Risk description	Risk of harm, accident or death to a child linked to failure of the council to act appropriately according to safeguarding arrangements			
Accountability (Risk owners)	<i>Officer</i>	Director of Children and Families		
	<i>Member</i>	Councillor Mulherin - Executive Member for Children and Families		
Evaluation		<i>Probability</i>	<i>Impact</i>	<i>Overall rating</i>
	<i>Current</i>	3 (possible)	5 (highly significant)	Very high (red)
	<i>Target</i>	3 (possible)	5 (highly significant)	Very high (red)

The current and target risk ratings reflect that the council is doing all it can to manage the risk with the resources available, but the impact is ‘5’ because even a single safeguarding incident could be highly significant.

Introduction

What are the risks?

The consequences of a significant failure in safeguarding are that a child or young person could be seriously harmed, be abused, or die. This tragic outcome poses significant risks to the authority, including: a very high reputational cost; possible financial costs in compensation; management and staff costs in time and possible restructures; and, depending on the seriousness of failure, possible intervention by Ofsted and/or government.

The causes of safeguarding failures are well-established both locally and nationally. High profile cases such as Victoria Climbié, Peter Connelly, and Khyra Ishaq all re-emphasise similar lessons, and identify the same risks for children and young people. Key risks include:

- Poor quality practice or lapses in professional standards by front line workers
- Failure to identify and manage safeguarding risks
- A failure to listen properly to the views of the child or young person
- Failures in communication and information sharing between professionals, both within the council and across partner agencies



- Delay and drift within and between professionals and services
- Lack of clarity of roles and responsibilities

Risk management

How the council is managing the risks

The council is strongly committed to improving the safeguarding of children and young people. Safeguarding is a clear priority in corporate and partnership strategic plans and the authority has backed this up with a high level of investment in children's safeguarding, even in the challenging budget context.

The most thorough assurance for this risk is external inspection by Ofsted. Ofsted implemented a new inspection framework in January 2018. On 30 and 31 January 2018, Leeds became one of the first local authorities in the country to receive a two-day focused visit, which is one of the elements of the new framework.

Inspectors looked at "the local authority's arrangements for the quality of matching, placement and decision-making for children in care, including the quality of planning and the identification and management of risk and vulnerability". Unlike a full inspection, a focused visit does not result in a 'grade', although a letter is provided detailing any strengths and areas for improvement identified by inspectors. Leeds' letter states that "senior leaders have created an environment in which social work is flourishing. Children, young people and their carers are benefiting from an increasingly stable workforce. The local authority's commitment to continuous improvement is tangible".

The LSCB (Leeds Safeguarding Children Board) has for many years been a statutory body established under the Children Act 2004. It is independently chaired and consists of senior representatives of all the principal agencies and organisations working together to safeguard and promote the welfare of children and young people in the city. Following a national review of all safeguarding boards, and a resulting change in legislation, the board has been renamed the Leeds Safeguarding Children Partnership (LSCP).

The statutory responsibilities for safeguarding in Leeds will now be collectively held by Leeds City Council (through the Children and Families directorate), the local NHS clinical commissioning group and West Yorkshire Police, through the LSCP. The LSCP is an independent intermediary body, and will continue the approach of the LSCB, working with all agencies to safeguard and promote the welfare of children and young people in Leeds.

Section 11 of the Children Act 2004 places duties on a range of organisations and individuals to ensure their functions, and any services that they contract out to others, have due regard to the need to safeguard and promote the welfare of children. Contracted providers are required to complete the online Section 11 audit toolkit for the LSCP. Providers are monitored in terms of safeguarding practice through contract monitoring arrangements.

The Integrated Safeguarding Unit provides an independent oversight from case management teams, offering challenge to those cases where children are most vulnerable, for example children subject to a child protection plan.

Regular practice improvement meetings, which are attended by senior managers and officers, focus on



social care practice. These meetings identify and share good practice within social work teams, and identify and remedy any poor practice that may have a negative impact on safeguarding activities.

The weekly referral review meeting is a multi-agency partnership meeting that focuses on decision making and practice issues. As with the practice improvement meeting, good practice is identified and shared across teams; incorrect and/or unclear decision-making is promptly challenged. Team managers and service delivery managers are tasked with addressing these challenges, with the response reported to the next weekly referral review meeting. This data- and evidence-focused approach ensures that decision-making 'at the front door' (the name for our Front Door Safeguarding Hub). The 'front door' has two clear functions: the first is to provide a 'Duty and Advice' (guidance) function to directly receive contacts from practitioners and to identify an appropriate response where there are concerns about the welfare or the safety of a child or young person; the second is to provide a daily, co-ordinated and consistent response to domestic violence cases.

Whilst there are specific responsibilities for the safeguarding of children and young people under the Children Act 2004, all council staff have a moral and legal obligation to protect children and young people (and adults). The cross-council safeguarding policy helps employees to understand, recognise, and report a safeguarding concern. The cross-council safeguarding group contains representatives from all directorates, who discharge the activities required to ensure a cross-council approach to safeguarding is achieved and sustained. The cross-council safeguarding people policy and procedure states that, "It is essential everyone recognises that safeguarding is best addressed in partnership with all the appropriate agencies...the cross-council group will promote this".

The council's work within the Safer Leeds partnership involves helping co-ordinate a response to reducing anti-social behaviour and offending amongst young people, as well as sharing vital intelligence on young people at risk of child sexual exploitation (CSE). Some children are particularly vulnerable to CSE, such as disabled children, children looked after, care leavers, migrant children and unaccompanied asylum-seeking children.

The Children's Social Work Service's case management system is called Mosaic. This system offers a transparent view of the child through social care processes, which further strengthens safeguarding for the most vulnerable children. Since the system went live in November 2013 (originally called Frameworki, before a major software upgrade in 2017) front line workers have a clearer view of decision making; practitioners have to follow a defined workflow centred on best practice principles; and it is easier and quicker to locate appropriate information. More information on vulnerable children and young people is available in one central location, from which reporting and monitoring is readily available. This in turn allows oversight and challenge from senior managers through the use of regular performance reports, and the ability to 'self-serve' by running child-level reports directly from Mosaic.

Leeds is part of the CP-IS (Child Protection - Information Sharing) project. CP-IS, a secure system with clear rules governing access, connects local authority children's social care systems with those used by NHS unscheduled care settings, such as Accident and Emergency, walk-in centres and maternity units. Medical staff are alerted if a child who is receiving treatment is subject to a child protection plan, or is a child looked after, with the system automatically providing contact details for the social care team responsible for them.



Social care teams are alerted when a child they are working with attends an unscheduled care setting, and Mosaic updates the child's record to indicate that the process has been triggered.

In 2015, Leeds successfully bid for funding from the Department for Education's Innovation Fund, resulting in £4.6 million coming in to underpin the Family Valued programme. The Innovation funding is being used to embed wide-scale culture and practice change, creating a much more family support oriented model. This is being done by enabling practitioners to use restorative techniques that work with children, young people and families to help them safely and appropriately find their own solutions to the difficulties they face before the need for more significant social care intervention. With the fund, the aim is that across the city we can realise the following entitlement for children, young people and families in Leeds:

- The default behaviour of children's services in all its dealings with local citizens/partners and organisations is restorative - high support with high challenge
- Children's Services in Leeds ensure that families, whose children might otherwise be removed from their homes, are supported to meet and develop an alternative plan before such action is taken
- In all other cases where there are concerns about the safeguarding or welfare of a child or children, we work safely and appropriately with the family to support them in helping to decide what needs to happen

This commitment to working with people is called restorative practice and we've been using it more and more in Leeds with positive results and great feedback from families.

A further bid to the fund was made in 2016/17 and has resulted in £9.6 million being allocated to Leeds over the next three years. Using this funding, restorative early support (RES) teams have been established in eight high need clusters, with plans being developed to all neighbourhoods of the city. RES teams bring additional capacity and a common practice model into high-need areas to ensure closer working between practitioners in Children and Families, schools, and partner agencies.

Where young people will remain supported by the council as they move into adulthood (for example, young people with disabilities), an action plan is developed with their current and future social worker. This will cover support, vulnerabilities, and any safeguarding issues that will need to be covered after the young person turns 18.

What more do we need to do?

The council maintains an ongoing commitment to practice improvement, to ensure that staff have the right tools and support to deliver exceptional service to children and young people to improve their outcomes. Staff are encouraged to do "the simple things well", and are supported to deliver outstanding social work practice.

The Children and Families directorate uses national experts to provide an external view and oversight of processes; benefits from peer working through the Association of Directors of Children's Services (ADCS) and other arrangements; has a comprehensive workforce development programme, supported by the LSCP; works restoratively with families; and has introduced more evidenced-based and integrated work with partners to both intervene early in the life of problems and to effectively identify and prioritise where there are high risk cases. The centre of excellence, established with Innovation Fund monies, will allow



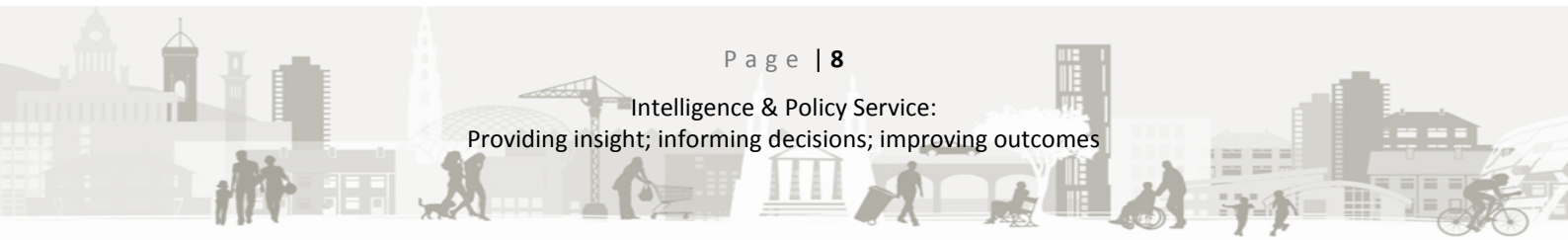
greater sharing of best practice with local authorities across the country, helping them reform and improve the work they do with children and families. It will also run a range of initiatives and events across the country. The centre will focus on areas where Leeds is leading the way nationally: on leadership, restorative practice, and developments such as the 'Front Door'.

The improvement journey ('from good to great') to improve the outcomes for all children and young people in Leeds continues, particularly those who are in vulnerable situations. The increasing budget pressures due to government cuts place this strategy at risk, although recent successful bids for external monies have allowed Leeds to sustain and secure improvements, and to build on the successful strategy to hasten the pace of systemic change within the city.

Further information

Further information is available through these web links:

- [Ofsted Focused visit to Leeds City Council children's services 22 February 2018](#)
- [Leeds Safeguarding Children Partnership](#)
- [Section 11 auditing](#) (via the LSCP)
- [One minutes guides](#) on a range of topics relevant to Children's and Families
- [Safer Leeds](#)



Safeguarding Adults Corporate Risk Assurance

Overview

The council is committed to ensuring that adults whose circumstances make them vulnerable to the risk of abuse or neglect are given the safeguarding and support they need. Safeguarding is a clear priority in corporate and partnership strategic plans. The potential consequences of a significant failure in safeguarding are that an adult at risk could be seriously harmed, abused or die. Knock-on effects of this include significant reputational damage, loss of public confidence in the council, legal and financial costs and also management and staffing resources.

The council works closely with partner organisations, including the NHS and the Police, to manage this risk through the Safeguarding Adults Board, directly contributing to our Best Council Plan outcomes for everyone in Leeds to be safe and feel safe; around people enjoying happy, healthy, active lives and living with dignity and staying independent for as long as possible; also our Best Council Plan ambition for the council to continue being an efficient and enterprising organisation.

Corporate risk: Safeguarding adults				
Risk description	Failure of (a) staff in any council directorate to recognise and report a risk of abuse or neglect facing an adult with care and support needs in Leeds; (b) staff in adult social care to respond appropriately, in line with national legislation and safeguarding adults procedures			
Accountability (Risk owners)	<i>Officer</i>	Director of Adults and Health		
	<i>Member</i>	Councillor Charlwood, Executive Member for Health, Wellbeing & Adults		
Evaluation		<i>Probability</i>	<i>Impact</i>	<i>Overall rating</i>
	<i>Current</i>	2 (unlikely)	4 (major)	High (amber)
	<i>Target</i>	2 (unlikely)	4 (major)	High (amber)

Introduction

The Care Act 2014 and the Care and Support Statutory Guidance (revised March 2016) require each local authority to establish a Safeguarding Adults Board (SAB) with three core statutory partners: the local authority, the NHS Clinical Commissioning Groups (CCGs) and the Police. The Care Act 2014 states that the role of the Safeguarding Adults Board is as follows: *‘The main objective of a SAB is to assure itself that local safeguarding arrangements and partners act to help and protect adults in its area who have care and support needs and are at risk of abuse and neglect’.*

The Care Act 2014 also states that the local authority must make enquiries (or cause others to do so) if an adult in its area is at risk of abuse or neglect, has care and support needs, and because of those needs, cannot protect themselves from the risk of abuse or neglect they face. The purpose of such enquiries is to establish whether any action is needed to safeguard the adult, and if so, by whom.

The safeguarding duty that the local authority has for adults in its area includes both safeguarding adults at risk and making enquiries about allegations of abuse and neglect. Both these duties are carried out in



partnership with other statutory Leeds SAB members, including the Police (in the case of criminal abuse or neglect) and the NHS, Housing and Safer Leeds colleagues.

In each local authority area the Director of Adult Social Services (DASS) has a statutory role to lead partnership arrangements for safeguarding adults.

What are the risks?

The main consequence of a significant safeguarding failure is that an adult at risk suffers violent abuse, serious harm and/or ultimately death. Such a tragic outcome would be a failure in the local authority's legal and ethical duty in safeguarding its citizens. The consequences that could impact on the council and/or the city if safeguarding processes are not followed include reputational damage, loss of public confidence in the council, legal and financial costs (such as the payment of compensation) and also management and staffing time.

Reputational damage could materialise when individuals at risk or their families are not identified as being so and suffer harm or are dissatisfied with either the protection or the thoroughness of the enquiries undertaken. At the other end of the spectrum, people or organisations alleged to have caused harm can challenge the fairness and the thoroughness of the process.

Parties in both situations can make complaints, which can result in associated press coverage, ombudsman enquiries and even judicial review. Where a council employee is the person alleged to have caused harm, the way its services are run and the implementation of internal HR policies can be questioned. The potential consequences of the risk include the use of resources to support the council through legal action, and the cost of compensation to individuals who have been unfairly dealt with.

Safeguarding Adults Reviews

The Care Act 2014 requires SABs to undertake Safeguarding Adults Reviews when:

'An adult in its area with needs for care and support (whether or not the local authority has been meeting any of those needs) if:–

- a.) There is reasonable cause for concern about how the SAB, members of it or persons with relevant functions worked together to safeguard the adult; and*
- b.) The adult has died, and the SAB knows or suspects that the death resulted from abuse or neglect (whether or not it knew about or suspected the abuse or neglect before the adult died); or*
- c.) The adult is still alive, and the SAB knows or suspects that the adult has experienced serious abuse or neglect'.*

The main risk associated with Safeguarding Adults Reviews is failing to highlight areas of practice that could be improved, and this could result in both legal claims and/or reputational damage to the council.

In summary, the main sources of the safeguarding adult risk for the council are:

- Failure of front line staff to correctly identify and deal with an actual or potential safeguarding episode under the terms of the Multi-Agency safeguarding procedures and statutory requirements of the Care Act 2014.



- Staff in any agency fail to follow their own safeguarding procedures in managing actual or potential safeguarding episodes, resulting in the local authority failing in its own statutory duty under S42 of the Care Act 2014.
- Poor quality practice or lapses in professional standards by frontline workers.
- Failures in communication and information sharing between professionals both within the council and across partner agencies.
- Failure to identify and manage safeguarding risks.
- Delay and drift within and between professionals and services.
- Lack of clarity of roles and responsibilities.
- A failure to listen properly to the views of the child, young person or adult.

Risk management

How the council is managing the risks

Cross-council safeguarding

Whilst there are specific responsibilities for the safeguarding of children and young people under the Children Act 2004, all council staff have a moral and legal obligation to protect children, young people and adults. The cross-council safeguarding policy helps employees to understand, recognise, and report a safeguarding concern. The cross-council safeguarding group contains representatives from all council directorates who discharge the activities required to ensure a cross-council approach to safeguarding.

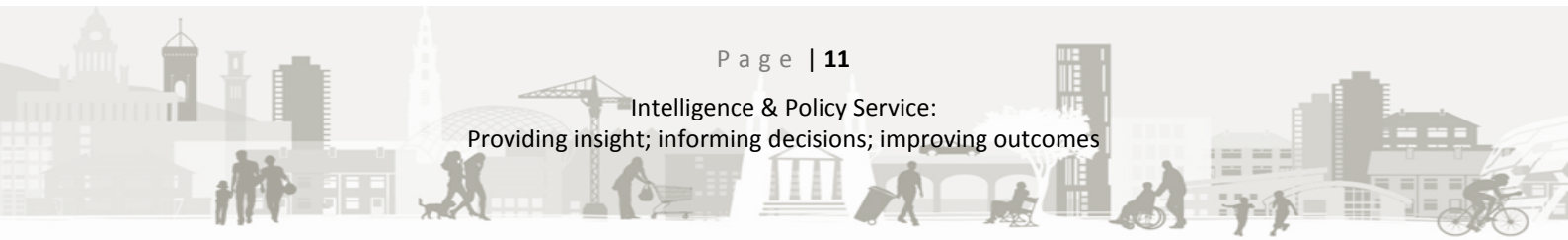
The Leeds Safeguarding Adults Board (SAB)

The Leeds SAB was constituted in 2009 and has an independent chair. The current incumbent, Richard Jones CBE, was appointed in September 2015. The chair is accountable to the council's Chief Executive and their contract is reviewed by the DASS annually.

The SAB is required to have an annual strategic plan, describing how each member will contribute to its strategy, and to produce an annual report of the activity of the Board and its members which is presented annually to the council's Executive members.

The DASS is actively involved in the running of the Board, with scheduled meetings with the Independent Board Chair and these meetings also extend to regular meetings between the DASS, the Independent Board Chair and the Executive Member for Health, Wellbeing and Adults. The Independent Chair also meets periodically with the Leader of the council and attends Scrutiny Board and Executive Board annually. This arrangement ensures that senior officers in the council and elected members are aware of and able to influence the work of the Leeds SAB.

When safeguarding adults reviews are undertaken by the Leeds SAB, the DASS has a personal involvement in signing off the review report, along with the independent chair of the Board and the chair of the Safeguarding Adults Review sub-group. These reviews are completed prior to the report being presented to the Leeds SAB for approval.



Management of Risk for Individuals

Services in the council's Adults and Health Directorate work within a Quality Assurance Framework that enables the directorate to audit compliance with those procedures and support individuals to manage risk. Staff oversee an independent quality and risk audit process which provides independent assurance. Management audits also take place against the quality assurance framework in place for in-house provision. A further check is made of information required by the Care Quality Commission (CQC), the independent regulator of health and social care in England. To ensure robust high quality risk management in protection plans, risk is central to the safeguarding process, with promotion of a positive approach, rather than one of risk avoidance.

The Safer Leeds Executive is the city's statutory Community Safety Partnership involving the council and relevant key partners such as the Police. Safer Leeds has responsibility for tackling crime, disorder and substance misuse and undertaking Domestic Homicide Reviews (DHRs). Safeguarding runs through all the work and priorities of the partnership including:

- Anti-social behaviour
- Domestic violence and abuse
- Youth crime and on-street violence
- Organised offending
- Local drug markets
- Hate Crime (Community Cohesion, Prevent/Radicalisation)

Safer Leeds provides additional focussed support to other partnership boards and delivery groups on the following cross-cutting issues:

- Safeguarding (Sexual Exploitation, Modern Slavery, Human Trafficking, Honour-Based Abuse)
- Complex needs (Mental Health, Alcohol and Drugs)
- Road Safety and Safer Travel

The SAB has done extensive work around learning lessons from DHRs that apply to adults with care and support needs. Lesson learned are disseminated widely and in a number of ways, including via the Leeds Safeguarding Children's Partnership and also integrated into areas such as domestic violence training to relevant council staff.

A Performance and Quality Group meets every three months with a focus on monitoring and promoting quality. The meetings are chaired by the Head of Service for Safeguarding, with the Police, NHS and relevant stakeholders attending. Actions have included developing strong links between council staff and the Hospital Safeguarding Staff to improve quality in referrals improve outcomes.

In addition to the above risk management aspects, the safeguarding adults risk is regularly reviewed, updated and reported to the Director of Adults and Health.

What more do we need to do?

The cross-council safeguarding group is currently auditing its approach to safeguarding adults and children. The findings are to be used to inform the approach to learning and development and also to update the content of guidance documents. The group is also seeking to strengthen its links with the statutory



Safeguarding Adults Board, Community Safety Partnership and Safeguarding Children's Board. This will aim to improve the city's strategic approach to safeguarding.

The council plans to:

- Continue joint work with CCGs and the Care Quality Commission, to ensure that quality concerns in regulated care services are picked up early and prevented from developing into safeguarding concerns;
- Incorporate Strength-Based Social Work within Safeguarding Policy and Practice;
- Ensure training is fit for purpose and quality assured;
- Ensure that the priorities of the Leeds Safeguarding Adults Board are met;
- Establish a Street Intervention initiative to address issues in the city centre in relation to rough sleeping, homelessness, substance misuse, anti-social behaviour and mental health; and
- Implement a pilot for working with individuals who are abusive in relationships to ensure greater competence in this arena and to explore evidence-based practices in relation to working with abusers within a legal framework.

In addition, there are a number of shared priorities with the Safer Leeds Executive including anti-social behaviour and criminal exploitation, domestic violence and abuse, hate crimes and community tensions, the impact of drugs, alcohol and mental health and serious and organised crime.

Further information

Further information, including all procedures and forms, is available on the Leeds SAB website:

www.leedssafeguardingadults.org.uk

Please also refer to the [Safer Leeds](#) website



Health and Safety Corporate Risk Assurance

Overview

Health and safety is about saving lives, not stopping people living. The council continues to support the Health and Safety Executive’s (HSE) campaign for sensible risk management, one that is based on practical steps to protect people from harm and suffering – not bureaucracy. This is important as the council is responsible for delivering a wide range of services and activities across the city.

Taking a risk-averse approach to health and safety could be damaging to the council’s reputation. Instead, a sensible approach allows the council to focus on the real risks to its own staff and members of the public and set an example to others. As a large, diverse organisation that delivers most services in-house, council employees face a variety of hazards which must be managed to prevent the risk of injury, death, chronic health conditions, legal challenge and reputational damage.

Health and safety priorities are agreed by the council’s corporate leadership team and these are underpinned by policies, procedures, training and audit reviews. A positive culture of safe and healthy working is encouraged and developed jointly with workforce trade union representatives.

A positive approach to the management of health, safety and wellbeing contributes to the ambitions of the council to encourage a city which is compassionate, safe, efficient and enterprising and which has a positive influence on the wider public health and wellbeing in the city and beyond.

Corporate risk: Health and safety				
Risk description	Risk of an health and safety failure resulting in death, injury, damage or legal challenge (either criminal or civil)			
Accountability (Risk owners)	<i>Officers</i>	Chief Executive and Director of Resources and Housing		
	<i>Member</i>	Councillor J Lewis, Deputy Leader and Executive Member for Resources and Sustainability		
Evaluation		<i>Probability</i>	<i>Impact</i>	<i>Overall rating</i>
	<i>Current</i>	3 (possible)	4 (major)	High (amber)
	<i>Target</i>	2 (unlikely)	4 (major)	High (amber)

The ratings are ‘high’ because even with strong controls in place to mitigate against a health and safety incident, the scope of the risk is very broad and covers a wide variety of hazards across all council services. Even a single health and safety failure could have a major impact.

Introduction

The council has a number of roles, responsibilities and duties with regards to health and safety at work. These include:

- As a duty holder with large numbers of employees.
- As a service provider with large numbers of clients, visitors, pupils etc.
- As a landlord with a large portfolio of buildings and land.
- As a regulator through Environmental Health.



- As a large-scale procurer of goods and services which can influence safety and health through the supply chain.

The council believes that it can only achieve its Best City and Best Council ambitions by ensuring these roles are fully integrated in its plans. This is not just about legal compliance, but is also a moral and ethical duty of care. It also encourages organisational performance by influencing a positive culture, reducing sickness absence and driving down costs associated with lost time and damage to equipment. The link between health and safety, wellbeing and inclusion is also strong and helps to provide an inclusive and supportive workplace.

What are the risks?

- That a serious incident occurs, causing death, injury or chronic ill-health to employees, clients or service users (including pupils) arising from the many services that the council provides or commissions. Nationally this has been brought into focus during the past year by the tragedy at Grenfell Tower in London where 72 people lost their lives in a fire at a tower block of flats. Should serious incidents occur, the council is committed to identifying any lessons learning and taking forwards recommended actions.
- Enforcing authorities such as the Police, West Yorkshire Fire and Rescue Service or the Health and Safety Executive (HSE), can undertake lengthy investigations if things go wrong and these may require suspension of services or closure of buildings. HSE inspectors can enforce health and safety standards through enforcement notices requiring improvements to be made: these can either prohibit an activity or allow time to comply, enabling satisfactory remedial action to be taken. During the past 12 months, and for the fourth consecutive year, the council received no formal Improvement or Prohibition Notices from the HSE or Fire Service. 'Notification of Contraventions' were received from the HSE, however, in relation to refurbishment activities and some forestry work being undertaken by a private contractor on the council's behalf. These were subsequently resolved to the satisfaction of all parties.
- Prosecutions can also be brought against the council following serious breaches of health and safety law. This can result in unlimited fines, adverse publicity, public enquiry or possible negligence manslaughter charges. The changes to the sentencing guidelines for health and safety offences two years ago have resulted in large fines for local authorities: for example, a £1 million fine for Nottingham County Council for an accident involving a tractor where a member of the public was seriously injured and others endangered.
- Civil claims for compensation can also be brought against the council by employees or members of the public injured due to the council's work activities.
- A poor health and safety record also affects: staff morale and engagement, productivity and increased costs due to lost working time as a result of accidents, sickness absence and agency/overtime payments. It may also negatively impact on the council's ability to tender for work.



The consequences of a health and safety risk arising include:

- HSE investigations and/or a public enquiry.
- Adverse publicity resulting in significant reputational damage and a loss of public confidence in the council.
- Legal action being taken against the council.
- Council services and facilities unable to function or even closed down.
- Unlimited fines.
- The council becoming totally risk averse (rather than being risk aware). This could have an adverse impact on undertaking activities such as school trips or our willingness to host major city events.

Risk management

How the council is managing the risks

Priorities

Eight key priorities for health, safety and wellbeing for a three-year period were agreed by the council's senior leadership team and endorsed by Executive Board on the 14th December 2016, after consultation with key stakeholders, including services and Trade Unions. These are: stress and mental health; building/staff security; risk management; managing safety in the council's vehicle fleet; fire safety (especially in council-owned housing stock); musculo-skeletal disorders; violence and aggression; and health-related matters.

Compliance

Health and safety management in the council is based on an approach advocated by the HSE. This is realised through our own Health and Safety Policy which sets out the roles and responsibilities of staff, and a series of Health and Safety Performance Standards (policies), jointly agreed with the trade unions. Compliance with the Policy is checked via internal and external audits and reviews by management teams across the council. Health and safety performance improved in most areas in 2017/18 compared with the previous year.

A wide range of guidance and information on health & safety matters is available to council staff on the internal Intranet system including:

- Contact details for competent health and safety advice
- Accidents and incidents in the workplace
- Fire Safety
- Personal protective equipment
- Risk assessments
- Mental Wellbeing

Accountability and performance

The Chief Executive is ultimately accountable for the health and safety of council employees and service users. To assist him to undertake this role he has nominated the Director of Resources and Housing with



responsibility for apprising him of health and safety performance. In turn, the Director of Resources and Housing is supported by a team of professionally qualified Health and Safety Advisers and Occupational Health Practitioners, led by the Head of Health and Safety.

In addition to these specific roles, the council's Health and Safety Policy details individual accountabilities for every level of employee. The Leader of the council also has a responsibility to ensure that decisions taken by elected members do not compromise the health and safety of staff or service users.

The Head of Health and Safety meets monthly with the Director of Resources and Housing to provide health and safety assurance and performance reports are also submitted to the council's leadership team and Executive Board. A 'High Hazard Group' has also been established to share best practice across the council. This is chaired by the Director of Resources and Housing and attended by senior leaders from high hazard services and supported by Human Resources (including health and safety).

Co-operation and consultation (safety committees)

Co-operation and consultation with the workforce on health and safety matters is extremely positive. There are corporate, directorate and service level Health and Safety Committees in place. An elected member chairs the Corporate Health and Safety Committee: a method of employee consultation made up of managers and employee representatives who meet regularly to discuss issues of mutual concern. In addition, working groups for asbestos and construction/contractor management have continued to improve these areas across the authority and good progress is being made.

Insurance arrangements

The council's arrangements dealing with the Health and Safety risk include both public and employer's liability insurance. The adequacy of the liability insurance arrangements is tested by benchmarking with other local authorities and informed by advice from the council's insurance brokers. The council's Insurance Section supports the Health and Safety team to assist with achieving a safer working environment for all employees and visitors through ongoing discussions and learning from experience gained from handling compensation claims.

Risk management – Specific work undertaken during 2017/18

Estates Management

The council has a large property portfolio, including those we own and occupy, those we lease out and some we lease in. These premises represent a significant asset, but can also pose a significant health and safety hazard if not managed effectively. For this to happen all council services must work closely together to ensure that properties are: inclusive, surveyed, inspected, maintained pro-actively and repaired promptly.

Essential pro-active maintenance includes: fire risk assessments, management of asbestos, Legionella control, inspections of lifts and other equipment and security. The work undertaken on fire safety, for example, and the agreement the council has in place with the Fire Service, was extremely important when reviewing housing stock and other large buildings in the wake of the Grenfell Tower tragedy.



Schools

Schools must always be safe environments for children, young people and staff. Much work was undertaken in 2017/18 to support this, including: regional workshops on school security, work to address the issue of weapons in schools and helping staff to address increasing levels of violence and aggression.

Employee Wellbeing

The Employee Wellbeing Strategy has continued to promote mental wellbeing, physical health, healthy lifestyles and a culture of wellbeing with many specific initiatives.

Access and Inclusion

Work continued on the 'Changing the Workplace' programme to modernise council offices making them better places to work in, and to improve the experience of disabled colleagues. This included applying Inclusive Design Principles to Merrion House which re-opened in early 2018 following an extensive refurbishment.

Security

Work was undertaken to improve the physical security of buildings and to address aggression directed at members of staff in front-facing services. This has also included training for elected members and provision of lone working safety devices.

Staff Health

The council continues to provide access to an Occupational Health Service and Counselling and other support for members of staff.

What more do we need to do?

To instil and maintain a positive health and safety culture the council needs to continually seek to improve. With this in mind the current challenges are:

- Violence, Aggression and Abuse – this is an issue both in some public-facing council premises and with staff carrying out their duties in the community. A council-wide lone working solution is to be procured in addition to revised policy, guidance and training.
- Projects, Contracting and Commissioning – we are looking to improve the management of projects and contractors, including clarity around legal roles and responsibilities.
- Mental Wellbeing – we must continue to work with Trade Unions colleagues and other partners to prevent, identify and support people with mental health problems. To assist this we are procuring a new Employee Assistance Programme and working on a Supporting Staff at Work Policy and guidance, which will include the need for managers to hold a Wellbeing Conversation with staff.
- Guidance and Information – we must look to standardise, simplify and share all health and safety information to ensure that it is clear what people need to do to keep safe and compliant without the need for too much bureaucracy.
- Work-Related Ill-Health – continuing to look for innovative ways to prevent workers from exposure



to hazardous substances like silica dust or wood dust through better tools, on tool extraction, dust reduction, personal monitoring and health surveillance.

- Performance Management – the procurement exercise for the development of an electronic health and safety management system is imminent and will be used to monitor and report on health and safety incidents as well providing useful management information to drive future best practice.
- Access to Competent Health and Safety Support – the Health and Safety Team in HR will design a new service delivery model to enable resources to be directed at the areas posing the highest risk. This will involve, for example, a new way of providing more self-service information for those working in office locations.
- Wellbeing, Inclusion and Diversity – the workplace setting will continue to be used to promote health and wellbeing. A ‘social model of disability’ approach will also be embedded to help remove barriers that prevent disabled colleagues being the best they can be at work.

Further information

A copy of the council’s Health and Safety Policy can be accessed by staff and members on the council’s Intranet Site under the ‘Policies and procedures’ section. Other Performance Standards and Guidance can be accessed through the Health, Safety and Wellbeing Toolkit on the council’s Intranet Site.

Members of the public can obtain a copy by contacting Chris Ingham (Head of Health and Safety) at chris.ingham@leeds.gov.uk or by calling (0113) 3789304.

General information on health and safety can be found on the Health and Safety Executive website www.hse.gov.uk

As noted above, we are regularly updating our webpage ‘Fire safety in high rise buildings’ (available [here](#))



City Resilience Corporate Risk Assurance

Overview

Incidents in any city will have significant ramifications for businesses, retail sectors, visitors and residents – the recent chemical attack in Salisbury prevented business as usual activity for several weeks whilst investigative work remained ongoing, with many of the businesses in the locality unable to open. The severe weather ‘snow’ event in March 2018 also had an impact regionally and more locally, with many businesses suffering from a struggling transport infrastructure and the additional challenges that mass school closures presented for pupils, employees and parents. Incidents both national and international, whether hazard- or threat-based, are driving collaboration amongst responders to work closer together, developing plans and sharing resources and assets to build an effective multi-agency response capability.

For major incidents and those that cut across borders, the West Yorkshire Resilience Forum is equipped to co-ordinate a joint response to emergencies that could significantly disrupt the city and impact upon communities and individuals.

As Leeds makes progress to become an economic powerhouse for the region, raising interest on a world-wide stage as a leading retail, cultural and visitor destination, resilience needs to be a key factor. Making Leeds a safe place for our residents and visitors, and protecting our businesses and key infrastructure is essential to the success of the city. This corporate risk assurance report sets out some of the ongoing and recent initiatives and developments to enhance City Resilience.

Corporate risk: City resilience				
Risk description	Risk of significant disruption in Leeds			
Accountability (Risk owners)	<i>Officer</i>	Director of Resources & Housing		
	<i>Member</i>	Councillor J Lewis, Deputy Leader and Executive Member for Resources & Sustainability		
Evaluation		<i>Probability</i>	<i>Impact</i>	<i>Overall rating</i>
	<i>Current</i>	3 (possible)	5 (highly significant)	Very high (red)
	<i>Target</i>	2 (unlikely)	4 (major)	High (amber)

Introduction

Under the Civil Contingencies Act 2004 the council has both a statutory duty and a community leadership role to ensure that the city collectively does all it can to enhance its resilience and manage its vulnerabilities. This involves partnership working to identify, assess, prevent, prepare, respond to and recover from emergencies and disruptions captured within this corporate risk.

Part 1 of the Act and supporting Regulations and statutory guidance ‘Emergency preparedness’ establish a clear set of roles and responsibilities for those involved in emergency preparation and response at the local level. The Act divides local responders into 2 categories, imposing a different set of duties on each.

Those in Category 1 are organisations at the core of the response to most emergencies (the emergency



services, local authorities, NHS bodies). Category 1 responders such as Leeds City Council are subject to the full set of civil protection duties. They are required to:

- assess the risk of emergencies occurring and use this to inform contingency planning
- put in place emergency plans
- put in place business continuity management arrangements
- put in place arrangements to make information available to the public about civil protection matters and maintain arrangements to warn, inform and advise the public in the event of an emergency
- share information with other local responders to enhance co-ordination
- co-operate with other local responders to enhance co-ordination and efficiency
- provide advice and assistance to businesses and voluntary organisations about business continuity management (local authorities only)

Category 2 organisations (the Health and Safety Executive, transport and utility companies) are ‘co-operating bodies’. They are less likely to be involved in the heart of planning work, but will be heavily involved in incidents that affect their own sector. Category 2 responders have a lesser set of duties - co-operating and sharing relevant information with other Category 1 and 2 responders.

Category 1 and 2 organisations come together to form ‘local resilience forums’ (based on police areas) to help co-ordination and co-operation between responders at the local level.

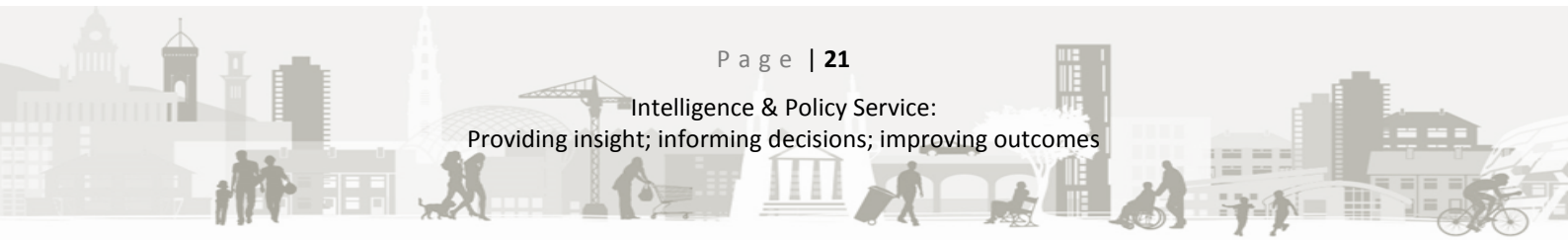
The West Yorkshire Resilience Forum (WYRF) is the council’s key partner organisation for city resilience. The aim of the WYRF is to co-ordinate the actions and arrangements between responding services in the area to provide the most effective and efficient response to civil emergencies when they occur.

The assurance report focuses on the adequacy of the council’s arrangements to deal with the impact of the risk including supporting a multi-agency response to play an effective contribution in the overall city response to a disruptive event.

What are the risks?

The risk of significant disruption in Leeds is a combination of two factors: the causative event and the way in which Leeds as a city responds to the event. Disruptive events include suspicious packages, severe weather and problems with keeping transport networks operational. Examples in Leeds over the last 12 months include:

- Several unrelated incidences of suspicious packages across the city, one leading to evacuation of Chapel Allerton Hospital and another of Leeds Market, the former requiring activation of a Rest Centre and the latter requiring road closures.
- Several severe weather events have occurred including snow & ice and high winds, the former impacting transport infrastructure and the latter requiring road closures due to danger from flying debris.
- There have been two instances of high rise flat fires, a gas explosion damaging three flats requiring a 200 metre cordon and several buildings identified with suspect aluminium composite material (ACM) one of which required the activation of a Rest Centre.



- Disruption has also been caused by planned events: for example traffic congestion resulting from industrial action taken by private hire taxi drivers, several major sporting events such as the Tour de Yorkshire, Leeds Half Marathon and the World Triathlon Series and major cultural and music events such as Leeds West Indian Carnival and Leeds Festival all having an impact on communities and the road network.
- There has also been a measles outbreak (35 confirmed cases in total) which was the first time such an outbreak had occurred since 2015.

As Leeds continues to attract major events, both sporting and cultural, the city and its crowded places become a potential target for terrorists and other extremist activities. Major events are equally susceptible to disruption from severe weather and the associated chaos due to impact on the road network caused by flooding etc. The council and partner organisations through the WYRF work closely together to make the city safe for all; both in planning for such events as well as developing a multi-agency capability and response to incidents should they occur.

Other major cities have faced bigger challenges and we learn from others as well as our own incidents, debriefs and exercises.

Risk management

How the council is managing the risks

Management of this risk seeks to ensure a secure and resilient Leeds, protecting our people, economy, environment, infrastructure and way of life from all major risks that could affect us directly.

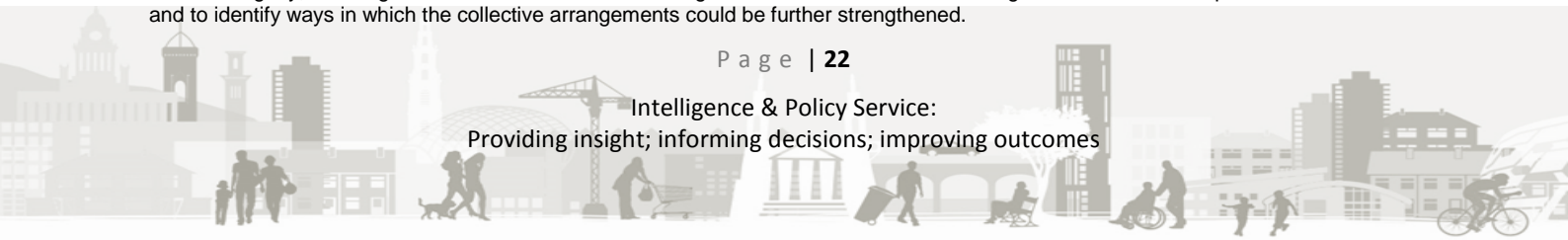
It is important to learn from incidents such as the Manchester Arena attack and Grenfell Tower fire as well as more local incidents so that planning and the capabilities of both the council and partner organisations can provide the best response to an incident as possible. Learning from the rise of the national threat level – indicating the likelihood of a terrorist attack in the UK -to critical (twice in the previous 12 months) and the ‘Independent Peer Challenge: London Local Governments Collective Resilience Arrangements’¹ offer up further opportunities for enhancing city resilience.

West Yorkshire Level

The council manages the city resilience risk taking into account both national and regional considerations. The revised National Risk Assessment (NRA) was launched in 2017 triggering a review of the West Yorkshire Community Risk Register.

The West Yorkshire Community Risk Register is key to identifying (resilience) risks that may impact the city. This register forms the basis of multi-agency emergency planning and is used by the WYRF and its partner organisations to review the risks to ensure that they are being appropriately managed. Identified and assessed risks are channelled into work programmes undertaken by the WYRF and its partner agencies (including the council) to determine the most effective means of managing the risk. The risk register is used to inform this corporate risk on City Resilience.

¹ This report details findings from the independent peer challenge commissioned by the London Councils in autumn 2017 following the Grenfell tragedy, focusing on the extent to which the boroughs’ collaborative resilience arrangements continued to provide assurance and to identify ways in which the collective arrangements could be further strengthened.



Leeds Resilience Group

The Leeds Resilience Group (LRG) is a forum for operational level practitioners from partner organisations in the Leeds area and includes Category 1 and 2 responder organisations. This includes utility partners and representation from key transport hubs including Leeds Bradford International Airport. The aim of the LRG is to develop closer working relationships on a more local basis and sharing of experience and knowledge.

Emergencies and Incidents

The council maintains a core set of plans in readiness to respond to a range of incidents. These include the Emergency Management Plan, Leeds Recovery Plan, City Centre Evacuation Plan, Leeds Flood Plan, Severe Weather Plan, Reception Centre Plan, Unexpected Deaths Plan (Excess Deaths and Mass Fatalities), Leeds Outbreak Plan, Leeds Pandemic Influenza Response Plan, Chemical, Biological, Radiological and Nuclear (CBRN) Plan and Leeds Animal Health Plan.

The Emergency Management Plan (EMP) (derived from the previous Emergencies Handbook) was completely reviewed and revised with the learning from Storm Eva (December 2015) and other more recent incidents. The EMP now includes how the council supports a multi-agency response to incidents. A foldable EMP 'Quick Guide' has been produced containing key guidance that can be carried easily on the person, in a wallet or handbag etc. so those responding to an incident can quickly access key information in support of a council and multi-agency response.

Learning from incidents such as Grenfell Tower and the Manchester Arena attack (Kerslake Report) inform further development of plans and arrangements. The recommendations from the Independent 'Peer Challenge: London Local Government's Collective Resilience Arrangements' are also being used to map the council's current position and areas for improvement into a 'Leeds City Council Organisational Resilience & Emergencies Improvement Plan'.

Planned Events

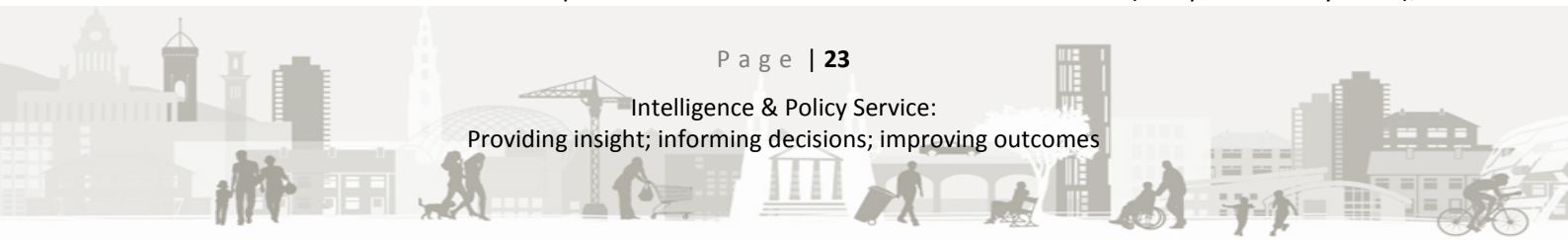
For planned events in Leeds (local galas, sporting or music events), arrangements to mitigate any issues are considered through the Strategic/Safety Advisory Group (S/SAG).

The S/SAG is now into its third year since inception and, as demonstrated through an annual review process, continues to maintain excellent levels of engagement and support from partner agencies and event organisers. The critique and challenge of event documentation and arrangements by the S/SAG helps to support event organisers to deliver safe and successful events. This is complemented by a suite of information and templates accessible by event organisers via the leeds.gov.uk website pages.

The S/SAG is hosting an event in June 2018 entitled 'Counter Terrorism Awareness for Event Organisers' at which event organisers will receive advice from guest speakers from the North East Counter Terrorism Unit on protecting events and reducing the terrorist threat.

Protecting the City Centre

A major initiative in the city centre is the implementation of the City Centre Vehicle Access Scheme (CCVAS). Phase 1 of the scheme will enforce the existing Traffic Regulation Order and provide protection from a hostile vehicle attack in the pedestrianised core. Whilst Phase 1 is delivered (completion early 2019),



temporary measures have been put in place using a series of gates. Phase 2 of the scheme will look at protection for other public spaces and consider use of portable Hostile Vehicle Mitigation (HVM) products that can be temporarily located as required.

Protection for the city from river flooding has been completed with the implementation of the Flood Alleviation Scheme (FAS). The procedures supporting the scheme have recently been tested through Exercise Titan, though the rise and fall weirs have yet to be used in a live situation.

Exercising and Testing

Exercising and testing is key to ensuring that plans and arrangements are robust and will function as expected. This applies to plans for responding to emergencies and incidents as well as planned events. Recent multi-agency exercises include Exercise Quartermain to test the response to a high rise tower fire including evacuation, Exercise Titan to test the procedures relating to the Flood Alleviation Scheme and Rise to Critical, planning for a rise to the national threat level. Future exercises include Exercise Brisbane ('flu pandemic) and Exercise White Dove (to test off-site COMAH – Control of Major Accident Hazards Regulations - plans). We also play an active role in testing/exercising through the WYRF. For planned events, there are exercises scheduled for the Leeds Tri-Athlon and Bramham Festival and recommended for Leeds West Indian Carnival with additional training and exercising planned for senior colleagues.

After recent liaison with Leeds BID (the local Business Improvement District, in Leeds representing over 1,000 businesses and organisations), consideration is being given to exercising the various zones within the City Centre Evacuation Plan. The aim is to encourage retailers/businesses located together to work closer in formulating their own plans and evacuation arrangements.

Communication/Warning & Informing

Good communication is key to achieving an effective response to emergencies. Communication is always noted in lessons to be learned from emergencies and incidents and a multi-agency response requires responding agencies to be able to share information. Use of Resilience Direct - a free to use tool accessible to the UK's emergency response community - provides a fully accredited and secure information sharing platform to facilitate this.

Although take-up of Resilience Direct across partner organisations in West Yorkshire has been fragmented, the council is moving ahead and rolling out access and training to staff and gradually increasing our ability to respond collaboratively to a multi-agency response to emergencies.

Leeds Alert, the joint Leeds City Council / West Yorkshire Police warning and informing system to which businesses and organisations can register, currently has over 1,600 registrations. Messages can be issued via SMS text and/or e-mail and provide advance warning of planned events or emergency incidents in the Leeds area which have the potential to cause disruption. The Leeds Alert Twitter account @leadsemergency has over 7,800 followers and is used to communicate more public facing warning and informing messages.

The Leeds Alert/Business Continuity Network Events continue to attract quality presenters delivering input on a range of resilience related subjects. Held twice yearly, invitations are issued to all registered with Leeds Alert and attracts 150 to 180 organisations. The aim of the events is to provide those attending with



information and guidance to enhance their own organisational resilience. The next event in June 2018 is themed on city centre resilience with key input from the North East Counter Terrorism Unit and colleagues from Police, Fire and Ambulance Services. The invitation has been extended to the Leeds BID.

The council has signed up to receive Cross-Sector Safety & Security Communications (CSSC). The CSSC is a partnership between law enforcement agencies, private sector businesses and local/national government organisations, working together to distribute news and security messages and promote national counter terrorism campaigns to businesses around the UK. The CSSC messages will be forwarded via Leeds Alert to all organisations registered.

What more do we need to do?

There will always be opportunities to enhance city resilience. Whether through closer working with partner agencies and building valuable networks or learning from events and incidents, all help to ensure that plans and arrangements are in readiness to support a multi-agency response. Exercising and testing of plans and arrangements continues and there are opportunities for multi-agency training and development through the West Yorkshire Resilience Forum.

Ongoing developments and initiatives to enhance city resilience include:

- Further exercising to support greater understanding and familiarity with the principles of a multi-agency response through Strategic, Tactical and Operational Coordination Groups.
- Promotion of the Emergency Management Plan 'Quick Guide' to facilitate easy access to key information required during a multi-agency response.
- Access to multi-agency exercising and training opportunities including the annual WYRF 'Gold' exercise.
- Provision of briefings and training to elected members and the wider workforce.
- Broaden the usage of Resilience Direct across Leeds City Council responder staff in support of wider partnership integration and collaboration.
- Raise awareness of risks (threats and hazards) using the revised West Yorkshire Community Risk Register and developing mitigating actions in readiness should any of the risks be realised.
- Promotion of the Leeds Alert 'warning & informing' system to increase the number of businesses registered.
- Review SSAG processes and procedures.
- Progress with Phase 2 of the City Centre Vehicle Access Scheme to protect other public spaces and events.
- Inform the review and revision of emergency plans and arrangements using learning from incidents and emergencies.
- Progress with the improvements captured in the 'Leeds City Council Organisational Resilience & Emergencies Improvement Plan'.
- Continue to support national campaigns and initiatives such as 'Action Counters Terrorism' (ACT), 'Run, Hide, Tell' (a warning used for public safety in the UK in the event of a terrorist attack) and 'Remove, Remove, Remove' (supporting front line emergency services personnel on early action for suspected exposure to a hazardous substance, such as an acid attack).



Developing greater city resilience needs to be a continuous process through experience of dealing with incidents and events, closer working (exercising and training) and sharing of resources and assets with partner organisations. It is important that plans and arrangements are reviewed and revised and lessons continue to be learned so that citizens and businesses in Leeds can be assured of an effective council and partner response in the event of a significant incident occurring.

Further information

Please click [here](#) to view the range of city resilience information for businesses and the public available on the council's website.

The West Yorkshire Police website contains details of the [West Yorkshire Resilience Forum](#) and also the [West Yorkshire Community Risk Register](#)



Council Resilience Corporate Risk Assurance

Overview

Leeds City Council has a statutory duty under the Civil Contingencies Act 2004 to have arrangements in place to maintain critical services in the event of an emergency, particularly those functions that are important to the health, welfare and security of the community. The council does this through the implementation of Business Continuity Plans.

Incidents impacting on council services and functions could be of short duration: for example, a minor ICT outage or a temporary breakdown of plant or equipment which can be quickly dealt with by the service or function impacted. A more wide spread incident could impact on several services, such as a major ICT outage (cyber-attack) affecting most of the council’s services, a ‘flu pandemic, severe weather or industrial action resulting in a significant loss of staff. Some incidents may be limited to an internal service impact, but where front line services are impacted then communities and potentially vulnerable people can be affected. Widespread incidents may require the activation of a council ‘Gold’ and the convening of the Emergency Management Team as per the Emergency Management Plan, to provide strategic direction to the response and recovery. ‘Gold’ incidents require the involvement of a council director. They will not get involved in the tactical or operational activities of the response, but instead maintain strategic overview and identify and implement appropriate management measures for longer term issues which may arise from the emergency.

Corporate risk: Council resilience				
Risk description	Risk of significant disruption to council services			
Accountability (Risk owners)	Officer	Director of Resources & Housing		
	Member	Councillor J Lewis, Deputy Leader and Executive Member for Resources and Sustainability		
Evaluation		Probability	Impact	Overall rating
	Current	3 (possible)	5 (highly significant)	Very high (red)
	Target	2 (unlikely)	4 (major)	High (amber)

The Civil Contingencies Act 2004 made it a statutory duty for all councils to have in place arrangements to be able to:

- Continue to deliver critical aspects of their day-to-day functions in the event of an emergency if the impact on the community is to be kept to a minimum;
- Continue to perform ordinary functions that are important to the human welfare and security of the community and its environment; and
- Assess the resilience of organisations that the council relies on, or delivers services through.

To help the council protect its prioritised or critical services and meet its statutory duties, a refreshed Business Continuity Programme was initiated in 2012. The programme reviewed services and functions considered critical and, through close working with managers and staff responsible for the services, a series



of updated Business Continuity Plans were developed and implemented. The Business Continuity Programme was successfully delivered in September 2015. Since then, business continuity (including the annual review process) continues to be centrally co-ordinated by the council's Resilience & Emergencies Team.

What are the risks?

The corporate risk relates to significant disruption to council services and failure to effectively manage emergency incidents. The risks, hazards or threats to council services come from a wide range of sources. However, regardless of the source, the impact will generally be on the council's people, premises, ICT and suppliers and providers of goods and services – all with the potential to impact citizens and communities. By focussing on the impact, the consequences of the disruption on critical services can be assessed and business continuity plans developed to document what needs to be done to protect the service should a disruptive or emergency incident occur.

Risk management

How the council is managing the risks

The corporate risk focuses on the following four key areas:

1. The first relates to business continuity and the risk that our arrangements for council resilience prove inadequate.
2. The second specifically relates to industrial action because of its potential to cause wide-spread disruption to council services and the city.
3. The third specifically relates to Digital and Information Services (DIS – formerly ICT Services) due to the high dependency of all council services on the DIS infrastructure.
4. The fourth relates to the risk that emergency/contingency planning arrangements across the authority are inadequate.

Underpinning the four risk areas is senior management level support and directorate engagement. The council's Corporate Governance & Audit Committee and the Corporate Leadership Team (the council's senior management team, comprising its directors and Chief Executive) provide support from the top by promoting and progressing emergency and business continuity planning across the council. Directorate Resilience Groups (DRGs) lead on co-ordinating directorate specific work such as ensuring that response and recovery capabilities are in place and that Business Continuity Plans are implemented for their prioritised or critical services.

Specific arrangements to manage each of the four risk areas are set out below.

1. *Business Continuity Management (BCM)*

Business Continuity Plans are implemented for all the council's prioritised or critical services and functions. There are currently 79 services identified as most critical and are identified as such by the DRGs or at management request.

Business Continuity Plans contain arrangements to maintain or recover council services to 'business as



usual' level following a disruptive event. Business Continuity Plans include arrangements in the event of loss of people (staff), premises, ICT and suppliers and providers of goods and services. Some plans might include loss of plant and machinery.

As a minimum, Business Continuity Plans are subject to an annual management review which ensures that the content remains up to date.

Other triggers to prompt a review include: where a reorganisation of the service may have changed the nature or scope of the work carried out; where services relocate their operations; where there are lessons to be learned from recent incidents; activations and exercising of the plan and where there are frequent movers and leavers requiring contact lists to be revised.

DRGs have a key role in overseeing and contributing to the implementation of business continuity and emergency planning arrangements and have an important role to play in ensuring that Business Continuity Plans are maintained through the annual review process and exercised.

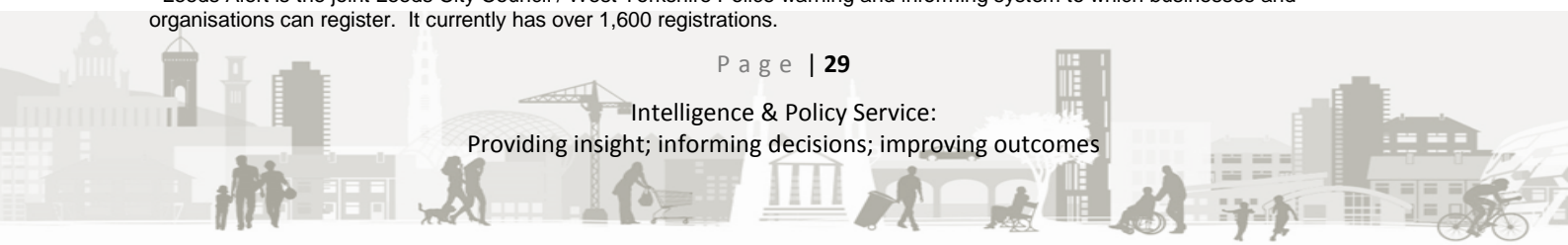
Exercising is key to testing business continuity and emergency plans. Business Continuity Plans can be exercised locally or several plans can be exercised together through scenario-driven exercises. Examples of individual service area exercises during 2017 include Legal Services and Digital & Information Services, both exercises identifying areas for improvement. An exercise was recently completed for the City Development DRG based on a city centre terrorist attack.

Opportunities continue for council services to test local plans and arrangements by participation in multi-agency 'themed' testing. Multi-agency exercises are arranged through the West Yorkshire Local Resilience Forum, or by individual partner agencies.

Some council services have a key dependency on external suppliers or commissioned service providers to deliver front line services. It is important to obtain assurance that the commissioned service providers are sufficiently resilient. The Resilience & Emergencies Team support the council's Adults & Health directorate by completing assessments of commissioned service provider plans. This includes documented feedback and a 'level of confidence' rating (Red, Amber or Green). A series of briefings have been completed for Adults & Health commissioning staff to provide them with a basic knowledge of what a Business Continuity Plan should include so that they can offer advice directly to their commissioned service providers. Presentations have also been delivered to Commissioned Service Provider Forums with the aim of informing the provider organisations attending about business continuity best practice.

Under the requirements of the Civil Contingencies Act 2004, local authorities are required to provide Business Continuity Management advice and guidance to business and voluntary organisations. This continues to be achieved by the hosting of the Leeds Alert²/Business Continuity Network Events. The events, held twice a year, invite representatives from businesses and organisations registered with Leeds Alert to attend and hear presentations from a range of guest speakers. The aim is for organisations attending to be able to take away learning to improve their own organisational resilience. The next event (June 2018) has a theme of resilience in the city centre.

² Leeds Alert is the joint Leeds City Council / West Yorkshire Police warning and informing system to which businesses and organisations can register. It currently has over 1,600 registrations.



2. Industrial Action

The council's HR service manages a documented procedure for a council-wide multi-discipline response to industrial action. The procedure provides a joined-up approach for all council services involved in managing the impact of industrial action and has been developed using documentation and learning captured from previous industrial action events.

Industrial action nationally and regionally is notified to the council by receipt of regular bulletins from RED (Resilience & Emergencies Division, part of the Government's Ministry of Housing, Communities and Local Government (MHCLG)).

The managers of the council's critical services and senior managers are informed to ensure all potential implications are considered and to cascade information to staff making them aware of the situation. Manager guidance is issued by HR to ensure that a consistent approach is taken.

Where industrial action is planned by external organisations, the impact on the council's services and functions is assessed and the council's most critical services are notified, advising them to plan for any disruption that might occur. Examples include the current ongoing industrial action impacting some train services affecting council staff travel arrangements to and from their place of work and the recent taxi and private hire driver 'slow-drive' through the city causing disruption to some council services due to the resulting traffic congestion.

3. Digital & Information Service (formerly ICT Services)

DIS has Business Continuity Plans implemented for key service areas which as a minimum address:

- Invocation of the required response/recovery and deployment of resource;
- Accessing back-up data;
- Restoration of data, information services, communications and support; and
- Recovery of the council's ICT infrastructure, for example in the event of a major cyber-attack.

Liaison between council services developing business continuity arrangements and the Digital & Information Service is encouraged to ensure that DIS recovery timescales meet the needs of the service. When developing Business Continuity Plans, council services are always advised to consider how they would maintain a service without access to any ICT over a prolonged period.

The Digital & Information Service maintains a schedule for regular testing of key council applications and systems. The schedule is managed via a calendar of testing and includes the outcomes of the test completed.

The Digital & Information Service has a Cyber Assurance & Compliance Manager in post providing expert knowledge and an awareness of current cyber-attack threats, helping to manage the corporate risk, 'Major Cyber Incident'.

4. Inadequate Emergency/Contingency Planning Arrangements

The council has a strong commitment to developing and implementing emergency and business continuity planning arrangements. This council commitment is demonstrated in the following ways:



- A corporately agreed Emergencies and Business Continuity Policy and accountability structure;
- A ready supply of response-based equipment and ability to use council assets to respond to an incident;
- Strong governance arrangements across all identified capabilities;
- Work programmes at national, sub-regional, local and internal level;
- A range of emergency and business continuity plans maintained and validated through annual review and/or exercising; and
- Mechanisms in place to meet statutory duties and demonstrate compliance.
- Learning from incidents both international and nationally to inform development of the council's emergency and business continuity plans. For example, since the Salisbury chemical attack, consideration needs to be given to whether current plans include mitigation or protection from chemical based attacks. Since the Grenfell Tower fire, analysis has been completed on the safety of council high rise flats and identification of further work to enhance resident safety.
- Other opportunities to strengthen council resilience include reviewing the revised West Yorkshire Community Risk Register for any new risks and the recommendations from the 'Peer Challenge: London Local Governments Collective Resilience Arrangements' report³.

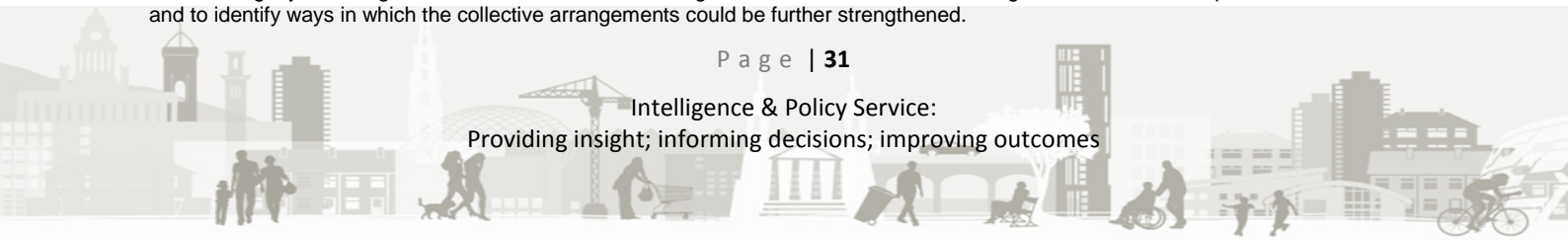
What more do we need to do?

Strengthening council resilience, whether emergency planning or business continuity, is progressed through the continuing work of the DRGs. The DRG's are best placed to understand the directorates' response capabilities and how best to deploy resources in the event of an emergency or major disruption.

Lessons to be learned from recent incidents and exercises continue to inform development of council preparedness and resilience whilst sharing of experiences and knowledge through working closely with partner organisations provides important learning. Ongoing developments to enhance council resilience include:

- DRGs continuing to lead on development, maintenance and ownership of council emergency planning and business continuity arrangements. This includes the development of DRG work plans and the implementation of lessons to be learned from incidents and exercises.
- DRGs continuing to identify new threats and hazards and to prepare and plan directorate capabilities to be able to respond and recover in the event that such threats and hazards are realised.
- DRGs continuing to review and identify contacts (including out of hours) for inclusion in the Emergency Management Plan.
- DRGs promoting awareness of and familiarity with the Emergency Management Plan and 'Quick Guide' to staff named as contacts with a role to play in responding to an incident.
- Considering resilience in terms of workforce planning and development, implementing a 'resilience is everyone's responsibility' culture.

³ This report details findings from the independent peer challenge commissioned by the London Councils in autumn 2017 following the Grenfell tragedy, focusing on the extent to which the boroughs' collaborative resilience arrangements continued to provide assurance and to identify ways in which the collective arrangements could be further strengthened.



- Upskilling of staff through volunteering/training to be able to provide support for key roles when responding to incidents, particularly incidents of a prolonged nature.
- Reviewing the role of elected members in emergencies;
- Reviewing out of hours/on-call cover across the council and ensuring that such cover is robust and not based on goodwill or simply on staff being available and able/willing to respond.
- Continuing to develop and participate in exercises (both in-house/council and multi-agency) to support learning. Exercises provide a safe opportunity to develop competencies and awareness and identify areas for improvement.
- Continuing to deliver counter terrorism 'Stay Safe' briefings, helping to keep staff alert, aware of and knowing how to report suspicious activity as well as being able to react in the event of a terrorist attack. This includes continuing support for campaigns and initiatives such as 'Action Counters Terrorism' (ACT) and 'Remove, Remove, Remove' (supporting front line emergency services personnel on early action for suspected exposure to a hazardous substance, such as an acid attack) and providing a flow of up to date information is available to staff on the 'Stay Safe' pages on InSite.
- Developing and progressing the actions included in the 'Leeds City Council Organisational Resilience & Emergencies Improvement Plan' including the findings from the London 'Peer Challenge' and Manchester Arena Kerslake Report which help to strengthen council resilience.

Further information

The Business Continuity Management Toolkit developed for use by council services can be accessed by staff and elected members on the council's Intranet site [here](#) under Toolkits – Managing a service.

The Business Continuity Institute's website provides further details and can be accessed [here](#)



Financial Management Corporate Risk Assurance

Overview

The ongoing challenge of reshaping and delivering council services within significantly reduced funding levels remains a significant risk in both the short and medium-term and so we have two corporate risks on the budget: one that considers the in-year risk, and another around the medium term-budget. A key priority for the authority is to deliver our financial strategy, without which, delivery of all the Best Council Plan outcomes and priorities could be threatened.

Over the past five years the government has made major changes to the funding arrangements for local authorities, moving from a needs-based system that recognised demands and resources, to a primarily incentive-based system where funding has become increasingly dependent upon the capacity to achieve housing and business rates growth. At the same time, the national council tax benefit scheme has been replaced by a system which gives greater local discretion but for which funding from government has been reduced.

Corporate risks: financial management				
Accountability (Risk owners)	<i>Officer</i>	Director of Resources and Housing		
	<i>Member</i>	Councillor J Lewis, Deputy Leader and Executive Member for Resources and Sustainability		
Corporate risk: in-year budget				
Risk description	Council's financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council's risk-based reserves policy			
Evaluation		<i>Probability</i>	<i>Impact</i>	<i>Overall rating</i>
	<i>Current</i>	1 (rare)	2 (minor)	Low (green)
	<i>Target</i>	1 (rare)	2 (minor)	Low (green)
Corporate risk: Medium-term budget				
Risk description	Failure to address medium term financial pressures in a sustainable way			
Evaluation		<i>Probability</i>	<i>Impact</i>	<i>Overall rating</i>
	<i>Current</i>	2 (unlikely)	3 (moderate)	Medium (yellow)
	<i>Target</i>	2 (unlikely)	3 (moderate)	Medium (yellow)



Introduction

The 2018/19 financial year is the third year covered by the 2015 Spending Review and again presents significant financial challenges to the council. The council to date has managed to achieve considerable savings since 2010 but the budget for 2018/19 requires the council to deliver a further £34m of savings.

The council continues to make every effort possible to protect the front line delivery of services, and whilst we have been able to successfully respond to the financial challenge so far, it is clear that the position is becoming more difficult to manage and it will be increasingly difficult over the coming years to maintain current levels of service provision without significant changes in the way the council operates.

The report to Council in February 2018, 'Best Council Plan 2018/19 to 2020/21', explains how this will be done: that, while continuing its programme of efficiencies, the council must continue to change what it does and how it does it, reducing costs, generating income, considering different service provision models and targeting its resources to where they are most needed and will have the most impact.

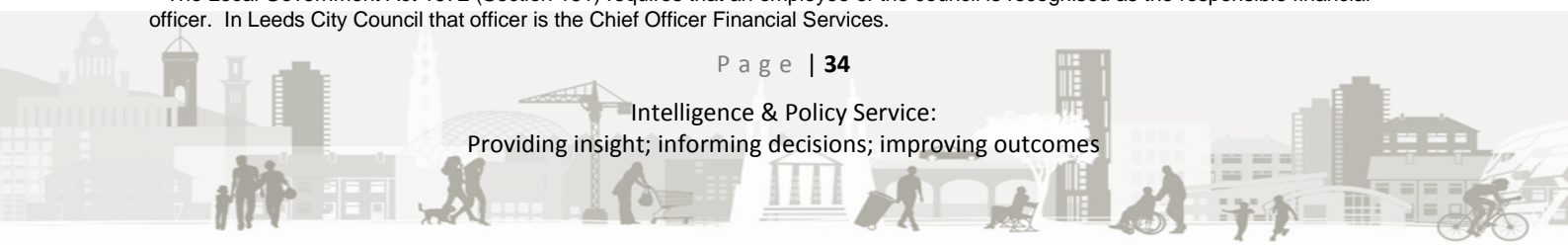
Although councils have a legal duty to set a balanced budget (taking account of any use of reserves; they cannot budget for a deficit position), there are clearly strong organisational reasons for ensuring that we have in place sound arrangements for financial planning and management. The budget, as well as a means of controlling spending within the available resources, is also a financial expression of the council's policies and priorities. Whilst this can simply be seen as an annual exercise, there is a recognition that this needs to be set within a context of a medium-term financial strategy. This is all the more critical given the financial challenges that we are facing.

What are the risks?

Failure to adequately plan, both longer term and annually and to manage the budget in-year carries a number of specific risks:

- Not able to set a legal budget by the due date;
- That the budget does not reflect council priorities and objectives;
- That the budget does not adequately resource pressures and increases in demand;
- That the budget includes savings which are not deliverable;
- That unplanned or reactive measures would be needed in-year to deliver savings;
- That the council falls into negative reserves or that reserves are used impacting upon the medium-term financial strategy;
- That the Section 151 officer⁴ exercises statutory powers and restricts or stops all spending;
- Should the audit of the council's Statement of Accounts contain damaging comments, this could potentially result in increased audit and government inspections;
- That there may be an adverse impact on staff morale if working in a challenging budget climate; and
- That the council's reputation may be damaged.

⁴ The Local Government Act 1972 (Section 151) requires that an employee of the council is recognised as the responsible financial officer. In Leeds City Council that officer is the Chief Officer Financial Services.



As a result of the UK's 2016 European Union referendum, the country faces a period of political, fiscal and economic uncertainty. There are likely to be implications for the national and local economy with consequent impact on the council's financial risks. Whilst it is too early to assess potentially wide-ranging implications, the following risks need to be considered:

- The potential for increased cuts in core government funding alongside possible increase in demand for council services.
- Rising inflation could lead to increased costs.
- Economic uncertainty impact on business rates and housing growth, with knock-ons to council tax, new homes bonus and business rate income.
- The general uncertainty affecting the financial markets could lead to another recession.
- An uncertain economic outlook potentially impacting on levels of trade and investment.
- Uncertainties around the cost of financing the council's debt, for example, due to interest rate volatility.

The ongoing management of the council's financial risks will need to take these – and possible impacts on partner organisations' funding - into account. Our service and financial strategies will be continually kept under review to keep track of developments with these risks.

Risk management

How the council is managing the risks

The duties of the council's Section 151 officer are crucial in how we manage these risks. These duties include:

- To report to Council on the robustness of the estimates and the adequacy of financial reserves;
- Certifying that the accounts are a true and fair view of the council's financial position; and
- Ensuring that the council's financial systems accurately record the financial transactions; enable the prevention and detection of inaccuracies and fraud and ensure that financial risk is appropriately managed.

Financial management within the council, both corporately and within directorates, is delivered by colleagues who are professionally and managerially responsible to the Chief Officer Financial Services (the Section 151 Officer).

Financial risks are managed through key duties including strategic financial planning, budget preparation and setting, in-year budget monitoring, closure of accounts and audit inspections. A summary of each is provided below.

1. *Strategic Financial Planning*

As part of the 2016/17 financial settlement, government set out an offer of a four-year funding settlement for the period 2016/17 to 2019/20 to any council that wished to take it up. Government stated that as part of the move to a more self-sufficient local government, these multi-year settlements could provide the funding certainty and stability to enable more proactive planning of service delivery and to support



strategic collaboration with local partners; local authorities should also use their multi-year settlements to strengthen financial management and efficiency. Government committed to provide central funding allocations for each year of the Spending Review period should councils choose to accept the offer and on the proviso that councils had published an efficiency plan. In September 2016 a report recommending acceptance of the government's offer of a four-year settlement was agreed at Executive Board.

This, in turn, informed the 2018/19 budget agreed at full Council in February 2018 and will also be important in the determination of the Medium-Term Financial Strategy 2019/20 – 2021/22, which is due to be reported to Executive Board (the principal decision-making body of the council) in July 2018.

The current four-year settlement ends in 2019/20, leading to significant uncertainties with regard to the level and allocation of future funding. We are actively engaging with government and local government representative bodies in developing these future funding arrangements and in understanding and, where possible, mitigating any inherent risks. Executive Board and Corporate Leadership Team (CLT – the council's senior management team) are kept abreast of these developments: for example, key risks will be highlighted to Executive Board in July's Medium-Term Financial Strategy report.

2. Budget Preparation and Setting

Revenue

The process of compiling the revenue (day-to-day) budget starts soon after the budget-setting of the previous year and runs through to the approval of the budget by Council. There are numerous tasks, checks and approvals involved in setting the budget, including reviews of budget proposals by finance staff, CLT and Executive Board and agreement of initial budget proposals by Executive Board and submission to Scrutiny Boards for further review and challenge.

With limited resources, it is inevitable that elements of the budget will depend upon actions which have yet to happen, or upon assumptions that in reality may vary from those assumed at budget setting. As such, an important element of the budget process is an assessment of the adequacy of general reserves which takes into account an assessment of the risks related to the budget estimates.

Capital

In terms of the capital (spending on assets) budget a five-year programme is prepared. The programme is constrained by the same funding reductions as the revenue (day-to-day spending) programme as ultimately where capital schemes are funded from borrowing, this needs to be repaid from revenue. The level and type of borrowing is determined before the start of the year and a limit set in accordance with CIPFA's (Chartered Institute of Public Finance & Accountancy) Prudential Code. The objectives of the Prudential Code are to ensure that the capital investment plans of local authorities are affordable, prudent and sustainable. Any in-year revisions to the council's programme need to be approved by Council.

3. In-Year Budget Monitoring

Revenue

Revenue budget monitoring is a continuous process which operates at all levels throughout the council. Although council directors are ultimately responsible for the delivery of their directorate budget,



operationally these responsibilities are devolved to budget holders across the various services. A Budget Management Accountability Framework was launched in 2015 to bring together budget information in a central source, with clear articulation of roles and responsibilities.

Financial monitoring, facilitated by the council's Financial Management System (FMS), is undertaken on a risk-based approach where financial management resources are prioritised to support those areas of the budget that are judged to be at risk. Financial monitoring operates on a hierarchical basis, whereby the monthly projections are aggregated upwards to be reviewed by Chief Officers and Directors. The projections for the strategic accounts and for each directorate are submitted to the Chief Officer Financial Services and CLT. Further review and challenge of the projections takes place by the corporate Finance Performance Group (a monthly meeting of the Heads of Finance, representing each council directorate), prior to monthly reporting of projections to the Executive Board and quarterly to relevant Scrutiny Boards.

Capital

The Capital Programme is closely monitored and quarterly updates are presented to Executive Board. In order to ensure that schemes meet council priorities and are value for money the following are in place:

- New schemes will only take place following approval of a full business case and identification of required resources;
- Promotion of best practice in capital planning and estimates to ensure that they are realistic; and
- The use of unsupported borrowing is based on individual business cases and the source of revenue resources to meet the borrowing costs is clearly set out.

One of the main risks in developing and managing the capital programme is that there are insufficient resources available to fund the programme. A number of measures are in place to ensure that this risk can be managed effectively:

- Monthly updates of capital receipt forecasts are prepared, using a risk-based approach, by the Director of City Development;
- Monthly monitoring of overall capital expenditure and resources forecasts alongside actual contractual commitments;
- Quarterly monitoring of the council's VAT partial exemption position to ensure that full eligibility to VAT reclaimed can be maintained⁵; and
- Provision of a contingency within the capital programme to deal with unforeseen circumstances.

Budget risks are reviewed each month, with key risks included within the Financial Health Monitoring reports to Executive Board and overarching strategic risks included in the corporate risk register.

⁵ Councils make a number of supplies of goods and services where VAT is charged at zero, lower and standard rate; in addition there are non-business and exempt supplies on which no VAT is charged. The VAT we charge to customers on our supplies is known as 'output tax'; the VAT we incur on purchases we make is known as 'input tax'. Output tax is paid to HM Revenue and Customs (HMRC) and input tax is claimed back from HMRC provided certain rules are observed. The general input tax rule is that the VAT a business incurs on purchases it makes in order to make a taxable supply can be reclaimed in full – 'recovered' - from HMRC, whereas the VAT incurred in making exempt or non-business supplies can't be reclaimed. However as a local authority, there are special rules that allow the council to reclaim the VAT incurred on purchases that are used in making non-business supplies. HMRC requires local authorities to complete an annual partial exemption calculation to show how much of the input tax they have claimed back in the year relates to the exempt supplies they have made. There is a de minimis limit set, whereby if the amount of input tax that relates to making exempt supplies is below that limit, you are entitled to retain the input tax attributable to exempt supplies (which has already been reclaimed during the year). However, if you exceed that limit, all input tax that has been reclaimed during the financial year in relation to exempt supplies would have to be repaid to HMRC. The de minimis limit is 5% of the total input tax that was reclaimed during the year.



4. Closure of Accounts

Getting our accounts produced on time and without audit qualification is important to ensure that we can properly account for the resources we have used during the year and that we understand the council's financial standing. The Chief Officer Financial Services is responsible for the closedown process, reviewing both the accounts themselves and the processes used to compile them, before certifying them as a true and fair view. Alongside the budget monitoring process, significant accounting decisions are referred to the external auditors for review by their technical accounting team to ensure compliance with applicable accounting standards. For the closure of accounts 2017/18 the authority's auditor is KPMG; Grant Thornton have been appointed as our external auditor from 2018/19.

5. Audit and Inspection

The council's external auditors provide members with independent assurance that, in their opinion, the accounts reflect a true and fair view of the council's financial position, that they comply with proper accounting practice and that the council has put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources. Internal audit also undertakes a number of reviews of our financial planning and monitoring arrangements.

At their meeting of the 20th June 2017, the council's Corporate Governance and Audit Committee received the Internal Audit Annual Report and Opinion for 2016/17 which is of relevance to the financial risks. The report provided an overall conclusion that, on the basis of the audit work undertaken during the 2016/17 financial year the internal control environment (including the key financial systems, risk and governance) is well established and operating effectively in practice. There were no outstanding significant issues arising from the work undertaken by internal audit. At the time of writing, the Internal Audit Annual Report and Opinion for 2017/18 is due to be considered by the Corporate Governance and Audit Committee on 30 July 2018.

What more do we need to do?

The scale of the financial challenge for 2018/19 and 2020/21 was detailed in the Medium-Term Financial Strategy that was received at Executive Board in July 2017. This strategy is currently being refreshed to encompass the financial year 2021/22, going two years beyond the government's four-year settlement, and, as noted above, will be considered by the Executive Board in July 2018.

Key risks the refreshed strategy will have to take account of include economic uncertainty and interest rate volatility, demography and demand changes, and the ability to generate capital receipts. There are also a number of policy changes that will impact upon local authority financing:

- The outcomes of government's Fair Funding Review of Local Government finance which will introduce a new methodology for allocating funding to local authorities, considering their relative needs and resources;
- The implications of government's green paper on social care due to be published this summer, setting out its proposals on improving care and support for older people and tackling the challenge of an ageing population;
- Government's aim to implement greater business rates retention (most likely 75%) at a national



level in 2020/21. Leeds is currently piloting 100% business rates retention for 2018/19 and awaits final details in respect of arrangements for 2019/20.

- The Budget this autumn will set out the total public spending envelope for the years beyond 2020 with a full department Spending Review to follow in 2019, setting out departmental allocations across government.

The issuing of a Section 114 notice by Northamptonshire County Council in February 2018 - imposing financial controls and banning expenditure on all services except for its statutory obligations to safeguard vulnerable people - and the subsequently commissioned Best Value Inspection, has increased the focus on local authorities' financial resilience and sustainability. At the time of writing, CIPFA is due to release a consultation on its plans for a financial resilience index, aiming to provide assurance to councils and their stakeholders on their financial stability. CIPFA is proposing to use a range of indicators based on published data to come to its conclusions, including an authority's level of resources, its borrowing and taking into account local demographic pressures. Pending the consultation period over the summer – which Leeds will take part in - CIPFA plans to produce its first ratings in autumn 2018 and thereafter published annually.

The current and future financial climate represents a significant risk to the council's priorities and ambitions, and whilst we have been able to successfully respond to the challenge to date, it is recognised that we need to continue to develop our approach to medium-term financial planning beyond just identifying likely budget gaps to encompass a greater recognition of priorities and areas for disinvestment. This work is already underway through our medium-term financial planning, but given the scale of the challenge, it is clear that it will need to be subject to regular review as to progress, and to ensure that it remains dynamic whilst aligned to our Best Council Plan priorities. In the determination of both the in-year budget and the Medium Term Financial Strategy we will continue to ensure that our processes and assumptions are sufficiently robust, building on the effective controls we have in place to mitigate the risks.

Further information

Additional information is available on the council's website through the following pages:

- [Our financial plans](#)
- [Our financial performance](#)



Information Management and Governance Corporate Risk Assurance

Overview

Information is an asset like any other; we need it to do business and without it, business would stop. We need to manage information just as we do other assets, including our people, buildings, infrastructure and relationships with partners: managing the risks whilst also maximising opportunity and value. The most significant risk associated with a failure in information management and governance is death or serious harm that could have been prevented if information and data had been properly managed or disclosed.

All our services depend upon the effective management of information and data, so managing the risks in this area underpins the delivery of all our Best Council Plan outcomes and priorities.

Corporate risk: Information management and governance				
Risk description	Risk of harm to individuals, partners, organisations, third parties and the council as a result of non-compliance with information governance legislation and industry standards.			
Accountability (Risk owners)	<i>Officer</i>	Director of Resources and Housing		
	<i>Member</i>	Councillor J Lewis, Deputy Leader and Executive Member for Resources and Sustainability		
Evaluation		<i>Probability</i>	<i>Impact</i>	<i>Overall rating</i>
	<i>Current</i>	3 (possible)	3 (moderate)	High (amber)
	<i>Target</i>	2 (unlikely)	2 (minor)	Low (green)

The gap between the current and target ratings is due to ongoing work to ensure the council complies with the requirements of the General Data Protection Regulations introduced in May 2018.

Introduction

The main characteristics of information held by the council are summarised below:

- Personal information relating to identified or identifiable individuals – name, address, identification number etc.
- Special categories of personal information relating to individuals – racial or ethnic origins, physical or mental health etc.
- Commercially sensitive information such as legal and financial details.
- Personal and special categories of personal information on council employees.
- External information relating to the citizens and business users of Leeds.

The format of information held by the council covers both electronic and hard copy files, including social care files, legal and contractual documents, invoices, council tax and business rates records and correspondence.

The council, in line with recommended practice for public authorities in the UK, has to demonstrate that the information it has responsibility for is properly managed.



What are the risks?

Failure to manage personal information properly could ultimately cause death, harm or significant distress to individuals. Along with not managing commercially sensitive information properly, the implications for the council could include loss of public confidence, a significant fine and reputational damage. Should a major information breach occur, enforcement action from the Regulator - the Information Commissioners Office (ICO) - is likely.

On the 25th May 2018, a new data protection framework came into force, consisting of the GDPR and the Data Protection Act 2018. This new data protection framework builds on the principles contained within the original Data Protection Act 1998, but with a greater emphasis on fairness, transparency and accountability.

With the advent of the GDPR, the risk of a significant fine for the council increases if the authority is found responsible for a major breach of the regulations. Failing to manage information properly can also be a root cause of non-compliance with the council's legal duties, including human rights law, confidentiality, service specific legislation (adoptions law, children's law, council tax law, etc.) and access to information. The council could be subject to legal action and claims from stakeholders whose information was not handled properly.

Due to the wide ranging nature of the information management and governance risk, it is closely linked to other corporate risks managed by the council including Council Resilience, Major ICT failure and a Major Cyber incident.

Risk management

How the council is managing the risks

Existing arrangements in place for the information management and governance risk include:

- Policies and procedures for council staff including the Information Governance Policy.
- A wide range of guidance about managing information available to council staff on the internal Intranet site.
- Mandatory training for council staff on information management and governance.
- Staffing roles and responsibilities reflecting information management.
- Reporting to internal boards and committees such as the Corporate Leadership Team, Information Management Board, Corporate Governance and Audit Committee and directorate management teams.
- Reviews and inspections, both internal and external.

Roles and responsibilities

Ultimate responsibility for information management and governance within the council lies with the Director of Resources and Housing, the organisation's designated Senior Information Risk Owner (SIRO), supported by the Chief Digital and Information Officer and Head of Information Management and Governance.

All NHS organisations and local authorities which provide social services must have a 'Caldicott Guardian', a



senior person responsible for protecting the confidentiality of people's health and care information and making sure it is used properly: in Leeds, the Caldicott Guardian is the Director for Adults and Health.

The Head of Information Management and Governance is the council's Data Protection Officer (DPO), a position required under the GDPR. The GDPR establishes some basic guarantees to help ensure that DPOs are able to perform their tasks with a sufficient degree of autonomy within their organisation. The main tasks of the DPO are: to inform and advise the council of its obligations under GDPR when processing personal data; to monitor compliance with the GDPR; to provide advice on data protection matters, particularly with regards to data protection impact assessments and other high risk processing activities; and to act as the contact point with the ICO supervisory body.

In addition to being the DPO, the Head of Information Management and Governance role has responsibility for:

- Providing professional leadership on information management, information security, information risk management, Data Protection and Freedom of Information to support improved service outcomes, through a 'One council' approach to information.
- Ensuring there is a comprehensive set of Information-related policies, strategies and ambitions in order to effectively direct and shape the service and ensure awareness and understanding for all officers, elected members and citizens where applicable across the council.
- Leading on and supporting the council's Transparency and Open Data Strategy, ensuring that it is implemented across the whole organisation.
- Overseeing the council's operations in areas such as compliance and cyber assurance, information risk management, data quality, information access law and the arrangements for the lawful disclosure of nonpublic information.

Alongside these individual roles, the council's Information Management Board (chaired by the Chief Digital and Information Officer) aims to ensure that:

- A good standard of information management and governance practice is embedded into council business processes;
- The council's Information Standards Policy is kept up to date and is fit for purpose; and
- Decisions made about information management and governance are properly communicated to the right stakeholders across the organisation.

Information Access and Compliance

Information legislation provides rights for citizens to access information held by the council. In respect of the Data Protection Act (DPA) this provides a statutory right for citizens to access information (known as a Subject Access Request or 'SAR') held about them within forty calendar days of submitting a request. Under the Freedom of Information Act (FOIA) citizens have a right to request information held by a public organisation, such as the council, and unless an exemption applies, the council is generally under a duty to provide this information within twenty working days of receiving a request.

The need to be able to locate and retrieve information is essential, both to enable the council to operate effectively and efficiently and to respond to information requests within the statutory timescales



prescribed. The risk to the council of non-compliance would be enforcement action from the ICO.

A team of Information Practitioners ensure that all requests for information to the council are processed and dealt with according to respective legislation and within statutory timescales, and handle complaints from citizens and enquiries from the ICO. The ICO's monitoring requirement for FOI requests is that an organisation should be processing 85% of its requests within the statutory 20 working day time limit; and, the monitoring threshold for SARs is that an organisation should be processing 90% of its requests within the statutory 40 calendar day time limit. The council also has its own performance indicators in relation to statutory requests, and in 2017/18 these were 96% (FOI requests) and 88% (SARs). The council is currently meeting both of these thresholds.

General Data Protection Regulations (GDPR)

During 2017/18, the council undertook work towards implementing the requirements of the GDPR in readiness for May 2018. Although some aspects of this work are still in progress, completion should bring the current risk rating down to its target level.

To help address the size and complexity of the work required to achieve compliance, the council established a working group and GDPR Implementation Team, supported by Legal Services and the Digital Information Service.

Between November 2017 and January 2018, the GDPR Implementation Team delivered a series of well-received engagement sessions to 203 staff from across the council, including 173 senior managers (directors, chief officers and heads of service). The purpose of the events was to:

- a) Provide an overview of GDPR and the Data Protection Bill, including key changes from prior legislation and regulation; and
- b) Explain the council's plans for implementation, including highlighting the responsibilities of senior managers in relation to preparing their service areas for the changes required.

Critical to the success of the implementation programme is the role of the GDPR Service Leads whose key responsibilities are to:

- Support the GDPR Implementation Team by driving the GDPR agenda within service areas including the dissemination of key messages;
- Ensure that existing processing arrangements and systems are GDPR-compliant and, where required, make necessary changes – such as technical and organisational measures - proportionate to the risks involved;
- Assist with embedding new GDPR related policies and procedures across the council; and
- Report progress on implementation against key milestones to the GDPR Implementation Team including the reporting of risks and issues as they emerge.

Work took place to assess the requirements of the GDPR and Data Protection Bill and compare them against the council's current position, enabling the identification and scoping of work required to achieve compliance. From this initial assessment, nine 'work streams' were initiated to work towards compliance and also to ensure that appropriate policies, procedures and guidance were developed or updated. A summary of the nine work streams is as follows:



1. *Demonstrating compliance* - requirement for the council to be able to demonstrate how it meets the principles contained within the GDPR.
2. *Security of processing* – requirement to implement appropriate technical and organisational measures to ensure a level of security appropriate to the risk.
3. *Security incident management* – requirement to notify the ICO of personal data breaches, without undue delay, and where feasible within 72 hours of becoming aware of it unless the breach is unlikely to result in risk to the data subject.
4. *Data Protection by design and default* – requirement to carry out data protection impact assessments (formerly known as privacy impact assessments) whenever the council is using new technologies, and the processing is likely to result in a high risk to individuals’ rights and freedoms.
5. *Contractual arrangements with data controllers / processors* – direct obligations on data processors for the first time and new requirements to be followed when using data processors.
6. *Individuals’ rights* - key rights include the right of access (similar to the rules for subject access requests); the right to restrict processing; the right to object; the right to rectification; and the right to erasure / be forgotten.
7. *Lawfulness, fairness and transparency* – requirement to have a legal basis for processing personal data with the threshold to utilise consent being higher than the previous DPA; and to provide further information within privacy notices than is currently stipulated.
8. *Storage limitation* – see section on Records Management below for details.
9. *Accuracy and data quality* – requirements around data minimisation and accuracy including ensuring that inaccurate data is erased or rectified without delay.

The nine work streams produced outcomes such as briefing notes, guidance tools, changes to contractual terms & conditions and new or revised policies and procedures. A GDPR Implementation Guide (“the Guide”) was developed and is subject to periodic update to ensure it remains current. The purpose of the Guide is to keep council service areas informed about what they need to do to become GDPR compliant. At the time of writing (June 2018), 3 editions of the Guide have been released.

Elected members are required in their constituency role (in which they are Data Controllers in their own right) to implement the requirements of the GDPR and the UK’s Data Protection Act. All Members were provided with a detailed guidance note regarding the new data protection laws and how it affects them. All relevant advice, policies, procedures and documentation in place for council staff will also be rolled out to Members over the 2018 summer months.

Staff awareness and training on information governance remains an important and integral part of the council’s information strategy and is delivered through a series of training programmes. Some training elements are mandatory for all staff and is provided every two years. The latest version was launched on 16th April 2018, incorporating changes under the GDPR. An Information Governance training and awareness programme for elected members is also currently being delivered to ensure councillors understand basic information governance practice around information security and information sharing.

Records Management

The council is making good progress in implementing an Information Asset Register (IAR), a list of personal and non-personal information assets that it holds. A methodology for implementing the IAR and also the



role of the Information Asset Owners (the employees responsible for ensuring that specific information assets are handled and managed appropriately) have been approved by the Information Management Board. Relevant training materials have been refreshed and reviewed to reflect these aspects.

The Records Management Team continues to implement and review records management approaches across the whole council, thereby maintaining compliance with the Data Protection Act and GDPR.

Other key priorities progressed during 2017/18 to manage information risk include:

- A series of Information Audits conducted for all council services that have moved location. The audits looked at future paper storage requirements and aimed to minimise the amount of storage needed for hard copy records.
- Applying consistency in the management of employee records across the council to ensure compliance with the DPA principles. A 'discovery project' was completed to identify inconsistencies in approach across the council with the management of employee records. The findings have been presented to relevant senior officers for consideration.
- Ensuring that all scanning and digitisation provision by the scanning framework is effectively monitored, justified and co-ordinated. The team have led on and co-ordinated a number of scanning and digitisation projects in 2017/18 to ensure compliance with the GDPR, enabling asset release and generating efficiency savings.
- Cleansing data and reducing the storage on our existing network drives, mitigating the risk of breaching DPA principles. A 'Discovery and Cleanse' tool to assist data cleansing has been developed and is nearing completion. Once this tool is available, the Records Management Team will be trained in its use and work with services to cleanse the data on their network drives.
- Improving paper records management by tracking the movement and destruction of paper records owned by the council, reducing unnecessary storage costs; and
- Developing the council's Information Retention Schedule with recommended retention periods for the different types of record created and maintained by the council. New retention schedules have now been launched, though review is on-going via the GDPR Service Leads.

What more do we need to do?

During 2018/19 a number of initiatives are planned, aimed at mitigating the risk and bringing the council closer to full compliance with the GDPR and Data Protection requirements.

1. Led by the GDPR Implementation Team, key tasks aiming to be completed by the end of this summer include: updating information security incident procedures, the Data Protection Policy Statement, and Information Assurance and Data Quality Policies; producing a public document covering an individual's rights in relation to information; including a Corporate Privacy Notice and new Subject Access Request forms on leeds.gov.uk; and further briefings for elected members.
2. Following successful workshops covering information risks in relation to adults and children, further workshops are planned for key information areas within the council. The workshops will review the risks, identify any new risks to be considered, confirm the controls currently in place to treat the risks and identify any further action required. Undertaking risk workshops across the council will



help ensure a consistent approach to managing information risk whilst also ensuring that any aspects specific to each area are managed.

3. The most recent version of the mandatory corporate Information Governance training for all council employees continues; at the time of writing, this is due to be completed in June 2018. A project is now underway to redesign the Information Governance (IG) Level 2 classroom-based training in line with GDPR. This higher level of training is mandatory for all staff in the council's Adults & Health and Children and Families directorates who access the Leeds Care Record⁶ and is also available to all employees who access special categories of personal data. Level 2 training will be rolled out from September 2018.

Further information

- Additional information can be found on the [Information Commissioner's Officer \(ICO\)](#) website. The ICO is the UK's independent authority set up to uphold information rights in the public interest, promoting openness by public bodies and data privacy for individuals.
- The council's Information Governance Policy can be accessed [here](#).
- Council staff and elected members can also find a range of information and guidance through the Managing Information Toolkit on Insite, our Intranet site, [here](#).

⁶ The Leeds Care Record is a joined-up digital care record which enables clinical and care staff to view real-time health and care information across care providers and between different systems. It is a secure computer system that brings together certain important information about patients who have used services provided by their GP, at a local hospital, community healthcare, social services or mental health teams.



School Places Corporate Risk Assurance

Overview

Ensuring that the supply of school places meets demand is a statutory duty of local authorities. This duty also includes the promotion of parental choice, diversity and fair access. In terms of meeting demand, local authorities are subject to constraints under the Education Act 2011. The Act requires that, where a need for a new school is identified, the local authority invites proposals to establish an academy or free school, with the decision over whether to go ahead ultimately taken by the Department for Education (DfE).

For schools that are already open - local authority maintained, voluntary aided or academies - they can be expanded through a prescribed process of consultation. However, local authorities cannot require academies or free schools to expand. The inherent tension between the statutory requirement for a local authority to provide school places, and the diminishing influence of the local authority in the building/expansion of schools means that there is a greater risk of not meeting the duty to provide sufficient school places in good quality provision that meet the needs of local communities.

Leeds has experienced a rising birth rate since the turn of the century, with approximately a third more births per year recorded now than in 2000. The increasing child population has progressed through the primary phase and is now increasing pressure on the secondary phase. Additionally, the demographic make-up of the city has changed due to migration, meaning that houses (and, therefore, schools) are required in different parts of the city. The Core Strategy makes land available for 56,000 new houses in Leeds by 2030, which will further increase the pressure on school places.

Corporate risk: school places				
Risk description	Failure to provide sufficient school places in good quality buildings that meet the needs of local communities			
Accountability (Risk owners)	<i>Officer</i>	Director of Children and Families		
	<i>Member</i>	Councillor Pryor, Executive Member for Learning, Skills and Employment		
Evaluation		<i>Probability</i>	<i>Impact</i>	<i>Overall rating</i>
	<i>Current</i>	3 (possible)	5 (highly significant)	Very high (red)
	<i>Target</i>	2 (unlikely)	5 (highly significant)	High (amber)

What are the risks?

The risk is that the council is not able to secure sufficient school places for every child in the city that wants one, and so is in breach of its statutory duty. The factors that could cause this risk to materialise are:

- Inaccurate pupil projection calculations, underestimating the need for school places in different parts of the city.
- Proposals to create additional schools places not being approved. If proposed expansions to existing schools, changes to the age ranges of existing schools, or proposals to hold a competition to create a new school are not acceptable to local communities or to elected members, this could result in



Executive Board declining proposals.

- A lack of physical options for expanding existing schools or identifying potential sites for new schools in areas of need.
- A lack of capital funding to be able to implement proposals for creating additional places. Basic need proposals have been funded through the basic need capital programme funding¹ from central government, in acknowledgement of the particular school place pressure in Leeds. However, schemes generally cost more than the funding provided by government, creating a financial pressure. Any capital budget deficit will affect not only our ability to meet the need for school places, but also on delivering other capital projects, such as the maintenance of the school estate.
- A conflict with developing national policy on changes to school governance. As increasing numbers of schools convert to become academies, or become sponsored academies, the maintained school estate is reduced, and correspondingly the council's scope for adapting this estate to population pressures is reduced. This does not prevent the local authority working with academies to commission school places, as local authorities still have overall responsibility for ensuring that there are sufficient spaces to meet demand locally, but the decision-maker over requests to expand pupil numbers at an academy is the Secretary of State, rather than the local authority.
- New housing developments adding additional pressure to both the primary and secondary phases. Where there is no existing capacity, housing developers are asked to contribute through section 106 agreements².

The consequences of the risk materialising would be:

- The council would be in breach of its statutory responsibility to secure sufficient school places.
- The council does not deliver cost effective solutions, which would bring close scrutiny on the council's ability to effectively manage its basic need capital budget through the publication of the national scorecards and, potentially, DfE intervention.
- Short-term solutions, such as temporary classrooms may be required. This could lead to poor quality teaching environments for some pupils, which could negatively affect educational outcomes, particularly for those pupils who are already at risk of poor outcomes. The additional costs also add to the pressure on the capital budget.
- Children may be expected to attend a non-local school where capacity exists. It is preferable to avoid this outcome since it means more of our youngest children travelling greater distances, impacting on attendance and attainment.
- The adverse impact on other potential capital spend priorities, such as children's centre maintenance and residential children's home improvements.

¹ Basic need funding is the money given by government to local authorities each year to help them fulfil their duty to make sure there are enough school places for children in their local area.

² Planning obligations, also known as Section 106 agreements (based on that section of The 1990 Town & Country Planning Act) are private agreements made between local authorities and developers and can be attached to a planning permission to make acceptable development which would otherwise be unacceptable in planning.



Risk management

How the council is managing the risks

The basic need programme represents the local authority's response to the demographic pressures in primary school provision. Since 2009, the local authority has created over 1,700 reception class places as part of the programme. This equates to an overall increase in school capacity of nearly 12,500 places. Projections suggest that approximately 1,500 year seven places will need to be created by 2023, based on the number of places available for the academic year 2017/18, to manage the increasing demand for secondary school places. Accurate and detailed data modelling processes help project need and provide forecasting of the Leeds school place requirement (pupil projections) to ensure that the maximum amount of funding is secured from central government. Increased stakeholder involvement in developing options and proposals helps to ensure that sufficient places can be provided in the right parts of the city.

Closer working across the local authority has raised the profile of this issue. A focused discussion at the council's Corporate Leadership Team (the council's senior management team, comprising its directors and Chief Executive) about the impact of demographic change on all council services led to a corporate working group being set up, of which basic need is a high profile strand. This closer working is reflected in the relationships built with housing agencies and the immigration service, to ensure a full picture of existing and projected provision is available.

Robust financial planning and continual budget forecasting supports continual cash flow monitoring, and realignment of contingencies balances as projects/programmes complete.

An additional 285 reception class places will be in place for the September 2018 cohort. A mixture of permanent expansions of existing schools, a new free school, and bulge classes ahead of permanent expansions will be delivered to meet need. 120, 220, and 30 additional reception classes places are planned for 2019, 2020, and 2021 respectively, as the need for additional primary school places diminishes with the stabilising of the birth rate.

380 additional secondary school places have been made available for the September 2018 cohort, predominantly through schools taking a number of students over the published admission number. The delivery of an additional 1,500 year 7 places by 2023 will be delivered through a combination of new schools, expansions of existing schools, and changes to post-16 provision. Some solutions have already received approval, some are in, or are about to commence public consultation, and other solutions will be developed in the near future through consultation with key community stakeholders, to meet the demand for additional secondary school places.

What more do we need to do?

As the birth rate stabilises around the 10,000 mark per year, the need for additional primary school places is starting to level out, with fewer permanent or temporary solutions required within the near future. The larger challenge is in secondary provision, particularly where a new school in a locality is required. The equivalent of five new secondary schools across the city are required by 2023 and so the council is working close with key community stakeholders to identify solutions to meet demand.



Large housing developments as part of the site allocations plan will inevitably change the need for school places over the next 15 years, adding to the demand and pressure in some parts of the city. Staff in the council's Children and Families directorate will work closely with other directorates both at the planning stage and during implementation to identify when and where additional provision is required due to increased housing. This will be the predominant source of additional demand for primary school places over the next four years.

Given the challenges above, particularly in relation to secondary school provision, delivering the required provision in a timely and cost-effective manner requires a whole council response and a continued focus.

Further information

All reports that seek permission to consult about the creation of new school places, reports on the subsequent outcomes of those consultations, and design and cost reports basic need projects are publicly available as Executive Board reports, available [here](#).

The DfE produce statistical first releases on national pupil projections for all local authorities in England. The most recent release is [here](#).

The Education and Skills Funding Agency provides data on the progress local authorities are making in delivering good quality school places. The most recent release is [here](#).



Annexe 1: Leeds City Council's Risk Evaluation Matrices

The tables below give guidance on assessing risks on a scale of 1 to 5 in terms of their probability and impact, based on the current controls in place. Together, the two scores combine to give a risk rating. Additional notes to help make an assessment and the risk map used to determine the rating are on the next page.

Qualitative and quantitative descriptions are included to help evaluate a broad range of risks and give a level of consistency across the council's risk registers. However, you may have additional criteria you want to consider when carrying out your risk assessment or it may be that you need to adjust the thresholds up or down in an impact area such as finance / cost so please treat the tables below as a starting point. Also please bear in mind that risks will change (e.g. new information becomes available; the environment changes) so you will need to review your risk assessments frequently and adjust them as necessary.

Probability

Probability score	1	2	3	4	5
Descriptor	Rare	Unlikely	Possible	Probable	Almost certain
Frequency <i>How often might it / does it happen</i>	This will probably never happen / recur	Not expected to happen / recur	Might happen or recur occasionally	Will probably happen / recur but it is not a persisting issue	Will undoubtedly happen / recur, possibly frequently
Likelihood <i>Will it happen or not over the risk timescale</i>	Less than 5% chance	Around 10% chance	Around 25% chance	Around 60% chance	Around 90% chance

Impact

Impact score	1	2	3	4	5
Descriptor	Insignificant	Minor	Moderate	Major	Highly significant
Health & Safety <i>Impact on the safety and wellbeing of the public and staff</i>	No ill effects.	Short-lived / minor injury or illness that may require First Aid or medication. Small number of work days lost.	Moderate injury / ill-effects requiring hospitalisation. Risk of prosecution from enforcement agencies.	Single fatality and/or long-term illness or multiple serious injuries.	Multiple fatalities and / or multiple incidences of permanent disability or ill-health.
Environment / community	No effect on local infrastructure, communities or the environment.	Superficial damage to local infrastructure (e.g. minor road) but little disruption caused.	Medium damage to local infrastructure (e.g. minor road) causing some disruption.	Key elements of local infrastructure (e.g. school, major road) damaged causing major disruption.	Extensive damage to critical elements of local infrastructure (e.g. school, hospital, trunk road) causing prolonged disruption.

Impact score	1	2	3	4	5
Descriptor	Insignificant	Minor	Moderate	Major	Highly significant
Service interruption¹	Negligible. No impact on services.	Minor inconvenience for service users and staff. Services quickly restored.	Some client dissatisfaction but services restored before any major impacts.	Major disruption to service delivery. This could be through a single event or a series of outages.	Massive disruption to services. Recovery difficult or even impossible.
Staff	No impact on staff or service delivery.	Short-term low staffing level that temporarily reduces service quality. No impact on staff morale.	Medium-term low staffing level / insufficient experienced staff to deliver quality service. Some minor staff dissatisfaction.	Late delivery of key objective / service due to lack of experienced staff. Low staff morale.	Non-delivery of key objective / service due to lack of experienced staff. Very low staff morale.
Finance / cost² <i>Impact on relevant budget (e.g. service, project). Includes risk of claims/ fines.</i>	No or minimal financial cost. Budget risk register: £0 - £499k	Losses / costs incurred of 1-2% of budget. Budget risk register: £500 - £999k	Losses / costs incurred of 3-5% of budget. Budget risk register: £1000k - £1,499k	Losses / costs incurred of 6-10% of budget. Budget risk register: £1500k - £1999k	Losses / costs incurred of more than 10% of budget. Not covered by insurance. Budget risk register: Over £2m
Statutory duties / inspections	No or minimal impact or breach of guidance / statutory duty.	Minor breach of statutory legislation / regulation. Reduced performance rating if unresolved.	Single breach in statutory duty. Challenging external recommendations / improvement notice.	Several breaches in statutory duty. Enforcement action and improvement notices. Critical report. Low performance rating.	Multiple breaches in statutory duty. Prosecution. Complete systems / service change required. Severely critical report. Zero performance rating.
Projects / Programmes <i>(Time / Cost / Quality – for Cost impacts see ‘Finance / cost’ above)</i>	Little or no schedule slippage. No threat to anticipated benefits & outcomes.	Minor delays but can be brought back on schedule within this project stage. No threat to anticipated benefits & outcomes.	Slippage causes delay to delivery of key project milestone but no threat to anticipated benefits / outcomes.	Slippage causes significant delay to delivery of key project milestone(s). Major threat to achievement of benefits / outcomes.	Significant issues threaten entire project. Could lead to project being cancelled or put on hold.

¹ No timescales for interruptions have been given as the impact will vary from service to service and across the year. For example, a service interruption or outage of 1 day might be inconvenient for some services but critical for others. Equally, an outage of 1 day during the Christmas holidays might have no impact on many services but if this came at a particularly important time of the business cycle, it could cause significant issues. Services, particularly those deemed as ‘critical’ Council services, should consider their business impact analyses and business continuity plans when making this assessment.

² The budget risk register impact scores are defined by the Council’s Financial Management service.

Impact score	1	2	3	4	5
Descriptor	Insignificant	Minor	Moderate	Major	Highly significant
Reputation <i>Adverse publicity</i>	No adverse publicity. Rumours.	Single adverse article in local media or specific professional journal that is not recirculated (e.g. through social media). Leeds City Council one of a number of agencies referred to.	A number of adverse articles in regional / social media mentioning Leeds City Council. Some recirculation via social media. Single request for senior officer / member to be interviewed on local TV or radio. Adverse reaction by Leeds residents in YEP / social media / online forums. Short-term reduction in public confidence.	Series of adverse front page / news headlines in regional or national media. Wider recirculation via social media. Sustained adverse reaction by Leeds residents in YEP / social media etc. Repeated requests for senior officer / member to be interviewed on local TV or radio. Long-term reduction in public confidence.	Sustained adverse publicity in regional media and / or national media coverage. Extensive / prolonged recirculation via social media channels. Repeated requests for Council Leader / Chief Executive to be interviewed on national TV or radio. Possible resignation of senior officers and / or elected members. Total loss of public confidence, potential government intervention.

Additional notes

Probability

If you're not sure about the percentage chance of a risk happening over a given timescale and you don't have the data to assess its frequency, use the probability descriptors (i.e. 'Unlikely', 'Almost certain' etc.) to determine the most suitable score.

The risk timescale – i.e. the period of time during which the risk could materialise - will vary according to the type of risk it is. For example:

- For a budget risk, it might be expected to materialise over this financial year or over the period of the Medium Term Financial Plan.
- For a project risk, it could be either over the whole of the project lifecycle or for a particular phase within the project.
- With regard to an event, the timescale will be from now until the date of the event.
- For a number of the more cross-cutting strategic risks such as those on the corporate risk register, it is likely that the risk could materialise at any time. In these instances, it would be useful to consider the frequency: e.g. has this ever happened in the past in Leeds and, if so, how often and how recently? Has anything changed to make the risk more likely to occur?

Impact

Many risks could have a range of consequences: for example, a Health & Safety breach could affect an individual as well as lead to reputational and financial damage for an organisation. It's therefore possible that you assess the risk as having an impact of '3' using the Health & Safety impact, '2' for Finance and '4' for reputation.

Although you could break the risk down into several different risks covering all these areas and then score each of them to address the varying impact scores, often this can crowd a risk register and take the focus away from the actual risk 'event': i.e. the Health & Safety incident. Where possible, it's better to have 1 risk and use your best judgement to give an overall single impact assessment score. In the example above, this might be a '3' if you were to average the 3 impact scores or '4' if you decided to go with a worst-case scenario.

Risk Rating

When you've assigned probability and impact scores to each of your risks, you can plot them on a risk map to give you the overall risk rating.

