



# Annual Corporate Risk Management Report

July 2021



## Introduction

Our ambition is for Leeds to be the best city in the UK: one that is compassionate and caring with a strong economy which tackles poverty and reduces inequalities. Strong risk management arrangements are a vital part of organisational culture, linked to the values, to help achieve the ambitions. Our policy is to identify, analyse and manage potential threats and opportunities posed by risk.

Risk is present in everything we do to improve outcomes and deliver services. Local authorities, our communities and partners experience a wide range of significant risks including: cyber-attacks, adverse weather conditions and safeguarding incidents. The Covid-19 pandemic has seen the biggest test of the council and our partners' risk management, business continuity management and emergency planning arrangements in recent times. Together these arrangements have played a key part of our response and recovery plans, with the work undertaken to deal with the pandemic providing opportunities for shared learning.

### Background information

The previous annual corporate risk management report was considered by Executive Board on 24 June 2020. 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.

This report is supplemented by an annual assurance report on the authority's risk management arrangements considered each year by the council's Corporate Governance and Audit Committee. These reports are publicly available and focus on the policies, procedures, systems and processes in place to manage risks at corporate, directorate, service and project levels. The most recent report was approved at the Committee's 27 July 2020 meeting. More recently, the council's Risk Management Policy and Strategy have been reviewed and updated to ensure they remain up to date and reflect best practice.

### 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 to embed 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 (the Chief Executive and five directors) and Executive Board portfolio holders' 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. Some risks clearly impact on both the city and the council – coronavirus pandemic being the most obvious current example.

### *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 – seen at annex 1 of this report - 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 July 2021 and their current ratings based on combined probability and impact scores.

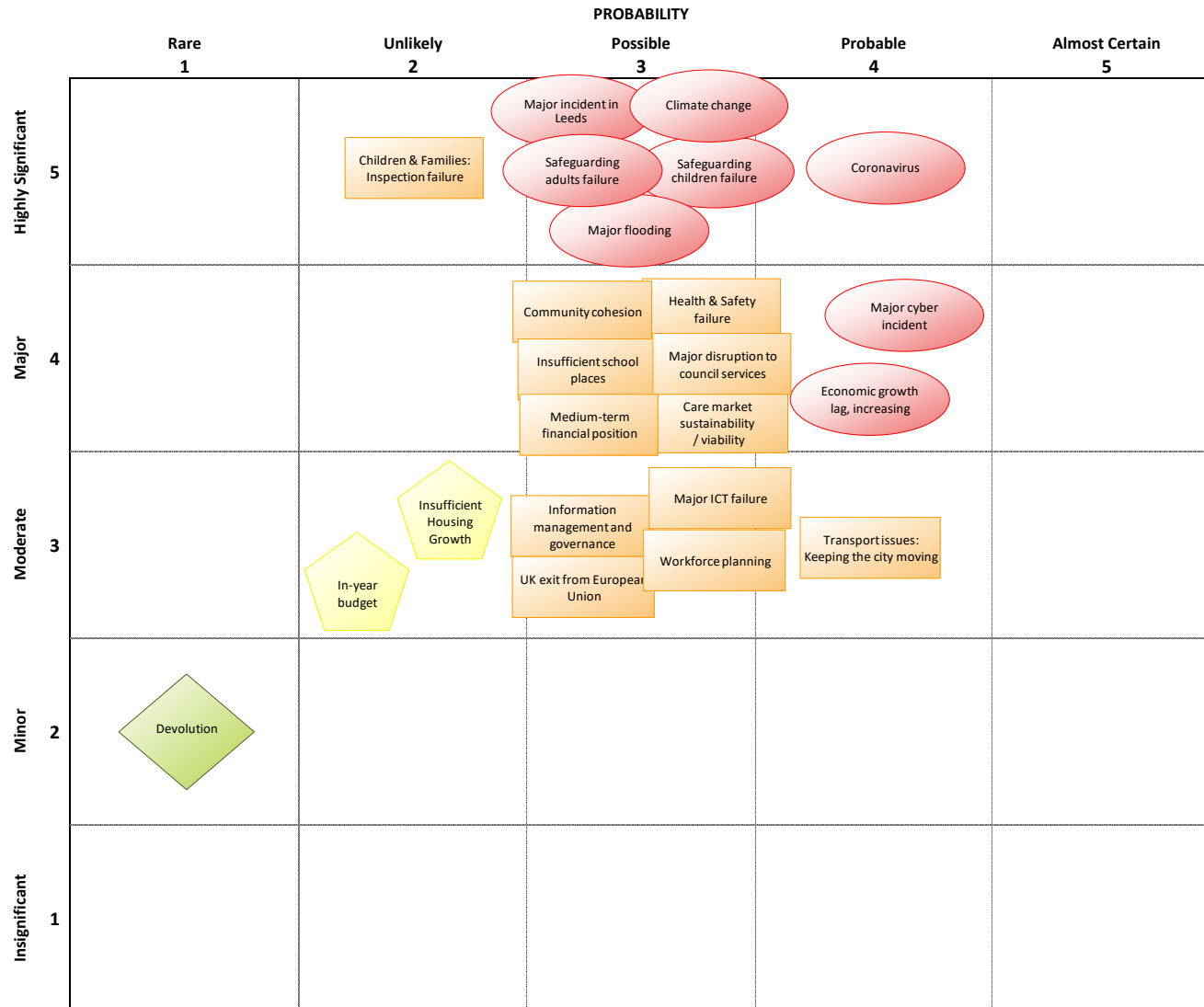
Many of the risks shown on the risk map will come and go as the environment changes. However, there are a set of ‘standing’ corporate risks that are likely to always face the council:

- Safeguarding children
- Safeguarding adults
- Health and safety
- City resilience
- Climate change adaptation / mitigation
- Council resilience
- Financial management (in-year and the medium-term)
- Information management

The remainder of this report provides a summary assurance on how each of these standing corporate risks is managed, signposting to where further information can be found. It also provides assurance on those risks currently rated as ‘red’ – i.e. of the highest significance – that do not fall into the standing risk category: coronavirus, economic growth lag, major flooding (included as part of the wider assurance on the city resilience risk) and major cyber incident. An overview of the risks covered in this report is provided at Table 1, detailing their full descriptions and risk owners. Further details about how the risks are scored can be seen in Annex 1 of this report

(For more information on the council’s risk management arrangements please contact Tim Rollett on [timothy.rollett@leeds.gov.uk](mailto:timothy.rollett@leeds.gov.uk))

**Figure 1: Corporate Risk Map at July 2021**  
Supporting our Best City / Best Council ambitions



**Table 1: Overview of significant and ‘standing’ corporate risks**

Risk area	Description	Accountability (Risk owners)		Current Rating
		Senior officer	Member & Portfolio	
<b>Coronavirus</b>	Risk of fatalities and serious illness, significant disruption to the city and to council services in the short- to medium-term and long-term negative economic impact as a result of the coronavirus pandemic, potentially greater impact on more vulnerable and disadvantaged	Tom Riordan, Chief Executive	Cllr J Lewis: Leader of Council and Executive Member for Resources	Very High
<b>Economic growth lag</b>	Growth in Leeds’ businesses is slower and less inclusive than the national and international economy, leading to lower wages, fewer jobs and poorer citizens and communities	Martin Farrington, Director of City Development	Cllr M Harland: Executive Member for Economy	Very High
<b>Cyber risk</b>	Risk to citizens, council and city as a result of digital crime, process failure or people’s actions	Neil Evans, Director of Resources	Cllr J Lewis: Leader of Council and Executive Member for Resources	Very High
<b>Safeguarding children</b>	Risk of harm, accident or death to a child linked to failure of the council to act appropriately according to safeguarding arrangements	Sal Tariq, Director of Children and Families	Cllr F Venner: Executive Member for Children, Families and Adult Social Care	Very High
<b>Safeguarding adults</b>	Failure a) of 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, and b) of staff adult social care to respond appropriately, in line with national legislation and safeguarding adults procedures	Cath Roff, Director of Adults and Health	Cllr F Venner: Executive Member for Children, Families and Adult Social Care	Very High
<b>City resilience</b>	Risk of significant disruption in Leeds	Neil Evans, Director of Resources	Cllr J Lewis: Leader of Council and Executive Member for Resources	Very High
<b>Major flooding</b>	Major flooding, especially north of the city centre station, occurs in Leeds that has a significant impact on homes, business, land and infrastructure	Martin Farrington, Director of City Development	Cllr M Rafique: Executive Member for Environment & Active Lifestyles	Very High
<b>Climate change</b>	Failure to adapt to and mitigate more extreme weather conditions brought about by climate change, resulting in an adverse impact on Leeds (its people, communities, infrastructure, economy and natural environment)	Neil Evans, Director of Resources	Cllr H Hayden: Executive Member for Climate Change, Transport and Sustainable Development	Very High
<b>Information management</b>	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	Neil Evans, Director of Resources	Cllr J Lewis: Leader of Council and Executive Member for Resources	High
<b>Council resilience</b>	Risk of significant disruption to council services and failure to effectively manage emergency incidents	Neil Evans, Director of Resources	Cllr J Lewis: Leader of Council and Executive Member for Resources	High
<b>Medium-term financial position</b>	The council cannot balance its Medium-Term Financial Strategy	Neil Evans, Director of Resources	Cllr J Lewis: Leader of Council and Executive Member for Resources	High
<b>Health and safety</b>	Risk of a health & safety failure resulting in death, injury, damage or legal challenge	Neil Evans, Director of Resources	Cllr J Lewis: Leader of Council and Executive Member for Resources	High
<b>In-year budget</b>	The council’s financial position goes into significant deficit in current year resulting in reserves being less than minimum specified by council’s risk-based reserves policy	Neil Evans, Director of Resources	Cllr J Lewis: Leader of Council and Executive Member for Resources	Medium

## Coronavirus Corporate Risk Assurance

### Risk overview

The global coronavirus pandemic remains a threat to life, health, wellbeing and the economy, and for Leeds this has resulted in over 1,700 fatalities, serious illness for some of our residents, and significant disruption to the city's businesses and infrastructure. We now know that the pandemic has disproportionately affected the more vulnerable or disadvantaged, exasperating inequalities that we already knew existed in lower income areas. Council services and finances have also been impacted during this time. However, after a year, the picture continues to improve with fewer deaths, hospitalisations and harm being minimised to those most vulnerable. Restrictions and the vaccination programme have played a significant role in this, along with proactive delivery of the [Local Outbreak Management plan](#). The Government is now gradually and safely easing national restrictions and the services are increasingly getting back to normal, albeit at reduced capacity. The Leeds Response and Recovery Plan – our main planning tool – reflects the Government guidelines across three phases for the remaining of 2021.

Specific risks related to coronavirus and the actions being taken to treat them continue to be monitored through [Executive Board reports](#) and the council's risk management arrangements. Other corporate risks, such as those relating to the council's budget and the Leeds economy also reflect the impact of the pandemic in their details.

### Key controls in place to manage the risk

- The council's continued role in the city's multi-agency command and control arrangements, which have been developed and updated further in response to Covid-19 to facilitate the coordination and communication on a set of complex interrelated challenges. This is captured in the Leeds Response and Recovery Plan.
- Our services are looking to the rest of the year ahead, ensuring we plan for any risks/assumptions, and ensure that activity underway mitigate any disruptions and promote recovery across the city.
- We continue to provide practical support, such as regular delivery of PPE; signposting residents to support services; support to businesses ensuring Covid-compliance; distributing grants to more than 36,000 businesses; supporting our schools; coordinating volunteer response, including promoting testing and vaccinations; and ensuring free school meals continue throughout all school holidays.
- Through the Leader and Chief Executive, we continue to liaise with other Yorkshire and Humber councils, national bodies and Government groups to communicate key issues and to share best practice.
- Regular information and updates are communicated to our citizens, communities, staff, councillors and MPs, and a wide range of businesses and other partners.

### Further actions planned

Further actions can be seen in the Response and Recovery Plan reported to [Executive Board](#) and include:

- Continue to liaise with key partners to provide a co-ordinated multi-agency recovery, whilst responding to mitigate any ongoing/emerging issues.
- Continued support for residents, including signposting to services through our dedicated Covid helpline.

As is good practice, significant incidents such as the pandemic will result in a review, taking into account lessons learned, emerging best practice and consider how well the council and its multi-agency partners worked together. The review will help shape how the council manages major incidents in the future and how it can make the most of the wider range of relevant partnerships involved in responding to a major long term incident.

### More information

Information for people, communities and businesses to get help, as well as finding out how council services are affected, can be found at [leeds.gov.uk/coronavirus](https://leeds.gov.uk/coronavirus). Health advice can be found at [the Leeds CCG Covid page](#) or the [NHS coronavirus page](#). The latest government advice can be found at [gov.uk/coronavirus](https://gov.uk/coronavirus).

## Financial Management Corporate Risk Assurance

### Risk overview

The council's current and future financial position is subject to a number of risks, notably not addressing the financial pressures in a sustainable way so that the revenue budget cannot be balanced and the council's financial position going into significant deficit. Failing to deliver a balanced budget that addresses these issues both in the short and medium-term will ultimately require the council to consider even more difficult decisions that could have a far greater impact on front-line services, including those that support the most vulnerable. If the council's Chief Officer Financial Services in their professional opinion considers that the authority cannot deliver a balanced budget position in 2021/22, a Section 114 notice would have to be issued, prompting an emergency budget.

### Key controls in place to manage the risk

- **Roles and responsibilities** - financial management within the council is delivered by colleagues who report to and are accountable to the Chief Officer Financial Services (the Section 151 Officer).
- **Strategic financial planning** – based on the funding settlement from the government.
- **Budget preparation and setting** – revenue budget planning continues throughout the preceding financial year, whereas capital spending operates within a three-year programme.
- **In-year budget monitoring** – financial management and monitoring continues to be 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. Both revenue and capital budgets are continually monitored and reported regularly to senior managers and members. Financial Health Monitoring Reports are reviewed by the council's Executive Board at each meeting.
- **Closure of accounts** – timely accounts without audit qualification ensures we can properly account for resources used during the year and fully understand the council's financial standing.
- **Audit inspections** – providing elected members and the public with independent assurance that the accounts reflect a true and fair view of the council's financial position.

### Further actions planned

Whilst the council continues to make every effort to protect the front-line delivery of services, it is clear that the position remains difficult to manage financially. Continued focus is being placed on dealing with the ongoing financial implications for the council from the coronavirus pandemic, though the inherent pressures that existed prior to Covid-19 must also be managed.

The council's Executive Board will be receiving a number of financial reports in the current municipal year including those on the Capital Programme and the Treasury Management Strategy, with a further update to the authority's rolling 5-year Medium-Term Financial Strategy scheduled for September 2021.

### More information

- All Executive Board meetings and agenda items can be found [here](#).
- [Our financial plans](#)
- [Our financial performance](#)



## Economic Growth Lag Corporate Risk Assurance

### Risk overview

Changes to the global, national and local economic and health environment all represent threats to the Leeds economy. In particular, our economy has been significantly impacted by the Covid-19 pandemic. If Leeds fails to adapt and recover at the same pace as the rest of the economy, and if the council and its economic partners don't understand the challenges and opportunities, deliver effective business and skills, and infrastructure support, this will have an adverse impact on the economy, business survival, investment and growth. There will be further longer-term consequences for the city in terms of lack of opportunity, lower wages, falling employment levels and an increase in poverty and inequality.

### Key controls in place to manage the risk

- The council has a dedicated Economic Development Team which works on a diverse range of projects to support business, create employment and drive economic growth.
- A framework approach for Leeds' economic recovery from the pandemic has been developed. The programme of work in place to understand the opportunities and challenges for the economy includes:
  - A commissioned piece of work on our city and district centres.
  - An updated Skills and Talent Plan with clear actions to help people adapt to the future of work.
  - Commission work to better understand the opportunities of the Green Economy.
- Leeds' Multi-Agency Covid response and recovery arrangements include an Economy & Business Group.
- An engagement group of independent businesses set up to understand the needs of this vibrant sector.
- We work in conjunction with our partners, including the [West Yorkshire Combined Authority](#), [Leeds City Region Enterprise Partnership](#) and the Leeds [Chamber of Commerce](#), on a range of aspects such as supporting business growth and enterprise, promoting a thriving and safe city centre and delivering regeneration projects.

### Further actions planned

- Delivering a social progress index for Leeds to help us understand social and environmental progress at ward level, alongside economic information, giving a more holistic view and where we are better able to target interventions.
- Developing web sites that provide information, guidance and support for local people and businesses.
- Progressing links with central government to promote and maintain lobbying to ensure that the recovery needs of Leeds businesses are fully understood and programmes are able to support these.
- Developing links with new business start-ups to encourage growth and support survival.

Ongoing actions relating to the response and recovery from the Covid-19 pandemic include:

- Efficient processing of payment of grants and ongoing engagement, support and advice to businesses.
- The continued delivery of employment support programmes.
- Maintaining effective engagement with businesses to understand the impact on the local economy.
- Building in lessons learnt into future recovery planning.
- Continued engagement with businesses so they can help shape, contribute to, and benefit from a post-Covid-19 economic recovery programme, especially large anchor businesses.

### More information

- The Leeds Inclusive Growth Strategy can be viewed [here](#).
- Pandemic - economic recovery approach: [Leeds Economic Recovery Framework](#)
- [Business and licensing](#) information is available on [leeds.gov](#), including how to start and grow a business.

## Safeguarding Children Corporate Risk Assurance

### Risk overview

The potential consequence of a significant failure in safeguarding is that a child or young person could be seriously harmed, abused, or die. This is a tragic outcome for all, including the family of the young person. From a council perspective, this could damage the council's reputation, depending on the seriousness of failure, and could possibly lead to intervention by Ofsted and/or government.

### Key controls in place to manage the risk

- **Plans and strategies:** Safeguarding is a clear priority in the strategic plans of the council (Child-Friendly Leeds) and relevant partners, in particular the Children and Young People's Plan, the work of the Children and Families Trust Board and the Child-Friendly Leeds initiative. Through the council's Safeguarding Policy, all council staff have an obligation to protect all children, and vulnerable adults.
- **Maintaining a strong safeguarding partnership:** The responsibilities for safeguarding are collectively held by the council, the local clinical commissioning group and West Yorkshire Police, through the independently chaired [Leeds Safeguarding Children Partnership](#) (LSCP).
- **Inspection:** The most thorough assurances for this risk are the independent external inspections by Ofsted and the Care Quality Commission (CQC). Good progress continues to be made to the improvements identified by Ofsted in their most recent inspection, including having increased health practitioner capacity at the [Front Door](#)<sup>1</sup>.
- **Social workers:** Qualified social workers are based at the Front Door along with police and health practitioners as part of the council's partnership arrangements. This ensures timely multi-agency decisions about safeguarding concerns can be made by the relevant professionals. Out of hours safeguarding concerns are dealt with by the Emergency Duty Social Workers, based with the Police Safeguarding team.
- **Performance management/quality assurance:** There is a robust performance management and quality assurance framework in place that ensures management oversight at every level, internal scrutiny and review.
- **Reporting arrangements:** Clear and well-publicised guidance is available on [Leeds.gov.uk](#) and [LSCP](#) websites for members of the public and practitioners on how to report child safeguarding concerns.
- **External partners:** Challenge and scrutiny from external experts, leading practitioners and the extensive use of research to inform practice. Leeds role as a Partner in Practice has strengthened co-operation with national government and other leading local authorities. Leeds is engaged in regular regional peer challenges and health checks that provide a strong methodology for support and challenge across the region.

### The Impact of Covid

To ensure children continued to be safeguarded during the pandemic key actions undertaken included:

- Implemented weekly safeguarding meetings, led by the Leeds Children's Safeguarding Partnership, to ensure oversight of Health, Police and Children and Families through joint working during the pandemic.
- Established local Multi-Agency Bronze Meetings to ensure localised information sharing and support offer to most vulnerable children. These meetings focused on children who are home educated, and those children with a special education need or disability (SEND) who were clinically extremely vulnerable.
- Established a clear prioritisation staffing plan to enable to redeploy staff to critical parts of the service.

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<sup>1</sup> Front Door is term used in Leeds when talking about our arrangements where partners are co-located and work in partnership to safeguard children and young people.

- Ensured continuation of key safeguarding oversight meetings by Skype such as Weekly Referral Review Meeting.
- Enabled all children looked after, those subject to a child protection plan, and Children in Need to have their care plans reviewed virtually via Skype.
- Took part in national weekly discussions with the DfE, Chief Social Worker, and other authorities to ensure national changes were implemented and to ensure support available from central government was fully utilised in Leeds.
- The challenges of virtual working and the impact of Covid-19 have been managed by a strong workforce development offer including staff wellbeing. This meant that the workforce continues to remain stable with a clear prioritisation plan and risk assessment to ensure statutory safeguarding duties are not compromised.
- Guidance for practitioners around visits to see children and families, family time and transporting children was developed in line with national government guidance. This helped to ensure workers were able to and continue to remain able to complete duties without compromising their own or service users' safety.
- Risk assessments continue to be undertaken regarding all activities undertaken with children, young people and their families. This includes home visits, transporting children and meetings with families.

### Further actions planned

- The impact of Covid-19 is understood and responded to by appropriate proactive support to ensure safeguarding is not compromised. Risk assessments will be reviewed regularly to ensure the safe deployment of staff and a Covid-safe working environment.
- Strong partnership working in Leeds continues to be a priority as we move towards recovery planning and next steps.
- To progress towards an increased level of face-to-face family time for children who are looked after.
- Continued joint work in clusters to identify and support the most vulnerable children and their families in the context of the current Covid-19 pandemic. This includes ongoing development of the multi-agency Bronze groups that provide an operational response to emerging issues at the cluster level.
- Ongoing development of the three Early Help hubs supporting cross council, multi-agency, integrated work and the early identification of need.
- Ongoing strategic developments in response to domestic violence and abuse and to children at risk of exploitation.
- Ongoing [campaigns](#) such as the annual [Leeds Safeguarding Week](#) and [Think Before You Send](#).
- Leeds is one of 18 local authorities who are part of a national project implementing the Workforce Race Equality Standard. This will help formulate an action plan to tackle inequality in recruitment, retention and progression of BAME staff in Social Care.

### More information

For more details on how the council and its partners are managing this risk, please refer to the Leeds Safeguarding Children Partnership Annual Report (2019/20) considered by the council's Executive Board in March 2021 and available [here](#).

## Safeguarding Adults Corporate Risk Assurance

### Risk overview

The abuse of adults with care and support needs in Leeds can happen anywhere, be committed by anyone and can take many forms. To prevent this type of abuse and to support individuals to meet their desired outcomes should harm take place, a range of safeguarding measures are in place. Should any of these measures fail, an adult may suffer violence, serious harm and/or ultimately death. Such a tragic outcome could represent a failure in the council's legal and ethical safeguarding duties and have significant resource implications including financial costs, ombudsman enquiries and even judicial review.

### Key controls in place to manage the risk

The [Leeds Safeguarding Adults Board](#) (SAB) is a multi-agency statutory partnership of organisations, including the council, that work together to both prevent and end abuse of adults with care and support needs in Leeds. The SAB has a three year [Strategic Plan](#) and produces an annual report which sets out specific actions that help the Board and its partners achieve its ambitions. Other controls in place to manage this risk include:

- Multi-agency [Safeguarding Adults Policies and Procedures](#), including national and regional guidance.
- Cross-Council Safeguarding Policy: all council staff have an obligation to protect all children, and vulnerable adults. The Policy helps employees to understand, recognise, and report a safeguarding concern. This is delivered through the Cross-Council Safeguarding Group which brings together senior managers to coordinate the actions of Safeguarding Lead Officers.
- The SAB undertake safeguarding adults reviews (in accordance with the Care Act 2014) and share the learning and associated actions with the council and partners, to ensure lessons are learned.
- The Safeguarding theme runs through the work of [Safer Leeds](#), the city's community safety partnership.
- Checks are made by the [Care Quality Commission](#) (CQC<sup>1</sup>), the independent regulator of health and social care in England on the quality of care in registered services. The Council also undertakes contract management and quality assurance of commissioned care services.
- Clear, simple and easy to find information available on [what abuse is and how to report it](#).
- The Front Door Safeguarding Hub, the partnership arrangements through which a wide range of safeguarding partners work to support people who have been subject to Domestic Violence and Abuse.
- A rigorous and tiered training and competency framework for front line staff.

### Further actions planned

The main actions to deal with safeguarding adults can be seen in the SAB's annual report, framed around four key ambitions: Talk to me, hear my voice; Improvement awareness across all our communities; Improve responses to domestic abuse; and Learning from experience to improve how we work. The report also provides further details such as progress achieved, target dates and ratings to show how on track they are. Further actions include:

- Continuing the joint work with the NHS Leeds Clinical Commissioning Group (CCG), commissioning teams within the council 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.
- Ongoing promotion and awareness of safeguarding across the city, including the annual Safeguarding Week and the [White Ribbon campaigns](#).

### More information

The most recent Leeds Safeguarding Adults Board annual report (2019/20) is available [here](#).

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<sup>1</sup> The CQC monitors, inspects and regulates services to make sure they meet fundamental standards of quality and safety. It sets out what good and outstanding care looks like and makes sure services meet fundamental standards below which care must never fall.

## City Resilience (including major flooding) Corporate Risk Assurance

### Risk overview

Leeds, like any other major city, can suffer disruption caused by the impact of a major incident or emergency. In recent years Leeds has experienced adverse weather and major flooding and the coronavirus pandemic has presented the city, its people and communities with the biggest challenge post war. The risk would be exacerbated should more than one major incident occur in the city at the same time. Disruption can impact for several hours, days, weeks and even months whilst response and recovery is completed.

### Key controls in place to manage the risk

- Arrangements are in place to warn and inform the public and businesses about incidents via a range of channels including [Leeds Alert<sup>1</sup>](#), twitter: @leedsemergency and the Emergencies page of [Leeds.gov](#).
- A 'top down' approach to managing risks based on the [National Risk Register](#) which compares, assesses and prioritises all major disruptive risks to the UK's national security. This informs the West Yorkshire Community Risk Register which in turn forms the basis of multi-agency planning between the council and partner organisations for the West Yorkshire region.
- A wide range of emergency and continuity plans which are regularly tested and exercised.
- Specifically on flood risk management, the River Aire Flood Alleviation Scheme ([Phase 1](#)) which reduces the risk of flooding in the city centre and a range of local initiatives across the city completed in recent years including the Wyke Beck Naturalised Flood Management Programme.

### Further actions planned

The main actions relating to the council's recovery from the coronavirus pandemic are seen in the Response and Recovery Plan submitted to Executive Board each month (please refer to the Coronavirus risk assurance above for more information). More general actions relating to the City Resilience risk include:

- Ongoing work with businesses and other organisations to develop greater resilience in the city.
- Promoting community resilience by effective communications with the public.
- Working closely with other local authorities and partners that together form the West Yorkshire Resilience Forum for preparedness to respond to major and often cross boundary emergencies.
- Working together with partners from the Safety Advisory Group<sup>2</sup> (SAG) to deliver events safely.
- Continuing to support national counter-terrorism campaigns and initiatives.
- Progression of the River Aire flood alleviation scheme ([Phase 2](#)) and the development of local initiatives to reduce the risk of flooding across Leeds to improve the resilience and self-reliance of communities.

### More information

- Information on how to prepare for and respond to [emergencies](#) including flooding on the [leeds.gov](#) website.
- The West Yorkshire Police website contains details of the [West Yorkshire Resilience Forum](#) and the [West Yorkshire Community Risk Register](#).
- The latest [Flood Risk Management](#) report to the Infrastructure, Investment & Inclusive Growth Strategy Board (Item 7).

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<sup>1</sup> The council's free alert system

<sup>2</sup> SAGs are usually co-ordinated by a Local Authority (LA) and are made up of representatives from the LA, emergency services, other relevant bodies and the event organiser. SAGs provide a forum for discussing and advising on public safety at an event.

## Climate Change Corporate Risk Assurance

### Risk overview

The climate change threat is one of the greatest challenges facing this and future generations across the world. More extreme and more frequent severe weather, such as flooding and heatwaves, will impact on the people, communities, infrastructure, economy and natural environment of Leeds unless there is joined-up and concerted effort to adapt how we live and to mitigate the effects of climate change.

### Key controls in place to manage the risk

The council has a significant role to play in tackling climate change, leading by example in adapting our own operations to reduce emissions and supporting businesses, households and individuals to do the same, and also in helping to reduce the impacts of extreme weather events on Leeds. A number of the controls are detailed in the city and council resilience risks seen elsewhere in this report with additional climate change-specific controls including:

- The [Leeds Climate Commission](#) and [Yorkshire and Humberside Climate Commission](#) informs the work we do to tackle climate change. The Commissions bring together key organisations and actors from across the city and region and from the public, private and third sectors and helps Leeds make positive choices on issues relating to energy, carbon, weather and climate.
- The [Climate Emergency Advisory Committee](#) is authorised to consider and make recommendations regarding climate change and sustainability.
- Working with West Yorkshire Combine Authority (WYCA) to deliver the [Connecting Leeds Transport Strategy](#), which includes the promotion of public transport usage and active travel.

### Further actions planned

Tackling the climate change risk is everybody's responsibility. The council is working with major bodies across Leeds and encouraging smaller businesses to play their part in reducing their carbon footprint. Our plan is to:

- Promote further community resilience through effective communications with the public.
- Reduce the level of greenhouse gas emissions from the city to net zero by 2030 by:
  - Reducing the carbon footprint from council operations to net zero by 2025.
  - Supporting businesses and homeowners to implement energy efficiency and renewable energy projects to reduce their own carbon footprints.
  - Promoting cycling, walking, the use of public transport and zero emission vehicles.
  - Building sustainable infrastructure, including large scale renewable energy projects.

The actions that the council can take within the powers and resources currently at its disposal will not be sufficient to move the city to a net zero carbon position. There are areas where government policy changes are required and where further funding is needed. The council will seek to influence national policy through its lobbying strategy.

The impact of coronavirus on our response to the climate emergency is complex, but presents significant opportunities presented by the reduction in travel and encouraging more active travel. Leeds has seen a temporary emissions reduction of approximately 19% as a result of the pandemic. As we move out of lockdown and towards a longer lasting new 'normal' we will need to restate our carbon reduction ambition for the city, bringing a renewed focus to this vital work. This could encompass promoting more sustainable and healthy movement of people; new ways of working, adopting digital technology and home working; emphasising the value of green spaces and reviewing the role of spatial planning in pursuing low carbon; and influencing consumer behaviour and increasing recycling.

### More information:

Further details about the actions we are taking can be seen in the [Climate Emergency Report](#)

## Council Resilience Corporate Risk Assurance

### Risk overview

This risk relates to significant disruption to the delivery of council services and the failure to effectively manage and recover back to 'business as usual'. Disruptive incidents can arise from many sources and lead to reductions or even prolonged suspension of council services. When critical front line services are disrupted, this can result in communities and vulnerable people in particular being impacted. The coronavirus pandemic resulted in the biggest test to date of the council's business continuity management arrangements. Front line council services safely adapted their operations, whilst many others required staff to safely work from home, placing an increased demand on the digital infrastructure and systems.

### Key controls in place to manage the risk

The controls in place are designed to ensure that the council can continue to provide its critical or prioritised services or functions in the event of an incident or disruption.

- A well-established Business Continuity Policy and Strategy set out the plans to deal with any disruption and a Business Continuity Management (BCM) Toolkit contains information, guidance and templates for use by council services.
- The Emergency Management Plan (EMP) which covers both response and recovery can be activated should a significant, prolonged and widespread business continuity event occur.
- The council's ability to quickly assemble a team of officers to deal with a major disruption event alongside our partner organisations – as demonstrated with the coronavirus pandemic.
- Business Continuity Plans (BCPs) are in place for all critical council services that document the actions required to protect those services should a disruptive incident or emergency occur.
- The council's Resilience & Emergencies Team (RET) and Intelligence and Policy Service provides advice and guidance across the whole organisation to support these business continuity arrangements.
- Provision of advice and assistance to business and voluntary sector<sup>3</sup>
- The work of the RET has been aligned to reflect the [National Risk Register](#).

### Further actions planned

- Continue to learn from business continuity incidents and contribute to any lessons learned from them at local, regional and national level.
- Continue to identify new threats and hazards and to prepare and plan our capabilities to be able to respond and recover from them should any occur.
- Review and update the BCM Policy and Strategy later in 2021/22 to reflect best practice and also ongoing lessons learned from the Covid pandemic.
- Review the 'criticality' of the business continuity plans to ensure focus is being made on the right services.
- Review the BCM arrangements to ensure they consider how concurrent events in the council, city and region can be dealt with.

### More information

For more details on how the council manages this risk, please refer to the [Annual Business Continuity Report](#) considered by the authority's Corporate Governance and Audit Committee.

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<sup>3</sup> The Civil Contingencies Act 2004 requires local authorities to provide advice and assistance to those undertaking commercial activities and voluntary organisations in relation to business continuity management.

## Health and Safety Corporate Risk Assurance

### Risk overview

Should a serious health and safety (H&S) incident arise from the many services that the council provides or commissions, it could result in death, injury or chronic ill-health to a wide range of stakeholders including service users and staff. If things go wrong, regulatory and enforcement bodies such as the [Health and Safety Executive](#) (HSE) could undertake investigations into the council and this may require the suspension of services or closure of buildings.

### Key controls in place to manage the risk

- **Health, Safety and Wellbeing Policy and Strategy** – setting out the council’s commitment to H&S. The Strategy includes a set of refreshed priorities such as stress, mental health and muscular-skeletal disorders as well as the H&S roles and responsibilities of all staff.
- **Roles and responsibilities** - Professionally qualified staff including the Head of Health, Safety and Wellbeing and a team of H&S Advisers and Occupational Health Practitioners. All council staff also have H&S responsibilities and a number are trained as Mental Health First Aiders.
- **H&S training, advice and support** – available internally for staff and elected members. Regular communications and engagement on health, safety and wellbeing matters take place, this being a particularly high priority during the current coronavirus pandemic.
- **Processes & reporting** – Regular reporting on H&S issues and performance to a range of internal stakeholders, including the Health, Safety and Wellbeing Priority Board’ Corporate Health, Safety and Wellbeing Committee; the Corporate Leadership Team (consisting of the council’s Chief Executive and directors) and the Executive Board. An annual report to the Executive Board is produced which demonstrates how duties set out in the council’s Health and Safety Policy are discharged.
- **Co-operation & Consultation** – between managers and employee representatives on H&S issues with specialist working groups also covering specific areas such as asbestos, social care and outdoor education. Best practice is shared between the council and other organisations.
- **Working with partner organisations** – essential pro-active maintenance of council buildings, schools and housing stock is carried out with contractors. A Fire Safety Concordat is also in place between the council and the West Yorkshire Fire & Rescue Authority (WYFRA). It is intended to provide a framework to ensure that the roles and responsibilities of the two organisations are effectively translated into practical working arrangements.

### Further actions planned

Over the coming months risk management actions will be focused on how council services can recover from the coronavirus pandemic whilst maintaining health, safety and wellbeing standards and adapting to any significant changes required: for example, an increased use of PPE amongst staff. The Future Ways of Working plan will start to see an increased number of staff returning to offices during the period from 21<sup>st</sup> June 2021 until approximately September 2021 in accordance with the planned Government Roadmap.

### Further information

- The council’s latest Health, Safety and Wellbeing Performance and Assurance report was considered by the Executive Board in June 2021 and is available [here](#).
- The [Care Quality Commission](#) is the independent regulator of health and adult social care in England. They monitor, inspect and regulate services to make sure they meet standards of quality and safety.



## Information Management and Governance Corporate Risk Assurance

### Risk overview

Failure to manage personal information properly could cause distress, harm or even death to individuals, with the council facing legal and enforcement action, fines and loss in public confidence. The council recognises the need to protect its information assets from both accidental and malicious loss and damage.

### Key controls in place to manage the risk

The council has adopted a wide range of controls to ensure the resilience of the information governance arrangements. These cover the following themes:

- **People** – Roles and responsibilities are clearly set out, including a Senior Information Risk Owner, Data Protection Officer and a Caldicott Guardian (a senior person responsible for protecting the confidentiality of people's health and care information). Mandatory training for elected members and staff and internal guidance on managing information and cyber security is also provided through which the message is reinforced that this risk is everyone's responsibility.
- **Policies and processes** – are in place that are fit for purpose and reflect legislative requirements- In particular the General Data Protection Regulation (GDPR) and Data Protection Act (2018) - including those for Information Assurance and Information Sharing.
- **Technology** – a newly developed IT system (KOLOMBO) will simplify and replace a number of existing manual and overly-complicated processes.
- **Assurance and Compliance** – Information management forms part of the council's Annual Governance Statement which reports on the effectiveness of the council's internal controls, reviews and inspections (internal and external) and adopting compliance regimes such as the government's Public Services Network (PSN)<sup>1</sup> Code of Connection and the Data Protection and Security Toolkit for Health.

### Further actions planned

Information Governance is taken very seriously by the council and this is evidenced by the on-going work to improve the management and security of our information.

- Update of the Information Management Strategy.
- Progressing the Information Management and Governance team Covid-19 work programme which contains work ranging from updating existing guidance / producing new guidance; advising on new ways of working; modifying existing services; and introducing new services and schemes as a result of the pandemic.
- Completion in summer 2021 of work required to retain the council's PSN compliance.

### More information

- An annual report is considered by the council's Corporate Governance and Audit Committee which details the steps being taken to maintain and improve the authority's information governance. The most recent report from March 2021, which includes the annual report of the Caldicott Guardian, is available [here](#).
- The [Information Commissioner's Officer \(ICO\)](#) website. The ICO is an independent authority upholding information rights in the public interest, promoting openness by public bodies and data privacy for individuals.

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<sup>1</sup> PSN Code of Connection (CoCo) is an independent security assessment of external and internal network infrastructure and devices.

## Cyber Security Corporate Risk Assurance

### Risk overview

Cyber criminals seek to exploit UK public organisations and infrastructure for profit. Their technical sophistication varies from small scale fraud to persistent, advanced, and professional organisations. The council's digital infrastructure is under constant attack from malicious sources attempting to disrupt the confidentiality, availability and integrity of our information or bring our systems and applications to a standstill, severely impacting our ability to deliver critical services to the public. These risks require extensive management and treatment by the council. .

### Key controls in place to manage the risk

The council has adopted a wide range of controls that aim to ensure the resilience of its IT systems and prevent any adverse impact from daily attacks. These controls cover the following themes:

- **People** – Roles and responsibilities are clearly set out, including a Senior Information Risk Owner, Data Protection Officer and a Cyber Assurance Lead (a suitably qualified Cyber Security Professional). Mandatory information management and governance training for elected members and staff includes elements on 'cyber'. The message reinforced that this risk is everyone's responsibility
- **Policies and processes** – An Information Assurance Policy, setting out the council's approach to managing information security and risk, includes cyber-security within its scope. The interim information security measures for staff working at home and use of technology in response to the coronavirus pandemic are subject to ongoing review. Over the last 12 months the level of cyber alerting for public sector organisations has increased. These alerts assist the monitoring of cyber security threats by the council.
- **Technology** – Capabilities such as 'filtering', 'blocking' and 'scanning' help prevent breaches of the council's IT network, council devices and systems.
- **Assurance and Compliance** – Information Assurance (Cyber) forms part of the council's Annual Governance Statement which reports on the effectiveness of the council's internal controls, reviews and audits and adopting compliance regimes such as the government's Public Services Network (PSN) 2 Code of Connection and the Data Protection and Security Toolkit for Health.

### Further actions planned

- Implementation of Baseline Security Standards as part of an Information management system (ISMS)
- Ongoing work to retain the council's PSN compliance.
- Cyber security training for digitally enabled employees.
- A disaster recovery exercise themed around a major cyber-attack is being planned at a regional level.

### More information

- An annual report is considered by the council's Corporate Governance and Audit Committee which details the steps being taken to maintain and improve the authority's information governance and cyber arrangements. The most recent report from March 2021, is available [here](#).
- [National Cyber Security Centre](#) - cyber security guidance for public sector organisations and employees.
- MHCLG Digital is developing a local government cyber security standard, termed the Cyber Health Framework. Further details can be seen [here](#).

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<sup>2</sup> PSN Code of Connection (CoCo) is an independent security assessment of external and internal network infrastructure and devices.

### Annex 1: Leeds City Council’s Risk Evaluation Matrices

Risks that have been identified need to be analysed and evaluated (scored) using Risk Evaluation Matrices so that they can be prioritised for treatment. Risks ratings are based on a combined assessment of how likely the risk is to occur – its **probability** - and its potential **impact** after considering the controls already in place to manage/mitigate the risk.

A ‘5x5’ scoring mechanism is used to carry out this assessment of probability and impact which ensures that the risks are rated consistently. Together, these two scores combine to give a risk rating, one that is based on the **reasonable worst case scenario**, which helps prioritise the risks for review and action.

The scores allow the risks to be plotted onto a risk map (below) used to illustrate and compare a group of risks.

