

ANNUAL CORPORATE RISK REPORT JULY 2022



Introduction

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. More recently, pressures from inflation and the increased cost of living have impacted on the council’s risk profile and will continue to do so in the immediate future.

Our Best City Ambition, introduced earlier in 2022, aims to tackle poverty and inequality and improve the quality of life for everyone who calls Leeds home. Central to this, focus is placed on improving outcomes across the Three Pillars of Health and Wellbeing, Inclusive Growth and Zero-Carbon. Linked to the Ambition are a series of shared Values and Behaviours covering aspects linked to good risk management such as ethical behaviour and the staff code of conduct. Strong risk management arrangements are essential to minimise the risks of failing to achieve the ambition and outcomes. Our policy is to identify, analyse and manage potential threats and opportunities posed by risk.

Background information

The previous annual corporate risk management report was considered by Executive Board on 21 July 2021. 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 City Ambition outcomes. 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 meeting on 17th December 2021.

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.

The national and regional risk environment

A wider assessment of the external environment and potential risk factors is constantly undertaken. For example, economic shocks or major shifts in public policy such as the current cost of living crisis are monitored. The LCC Policy Network made up of officers engaged in analysis and policy development is a key source of such insights.

The risk management arrangements take into consideration the National Risk Assessment (NRA), published by the Cabinet Office. The NRA captures the changing risk landscape affecting the UK and is also used to inform the more local West Yorkshire Community Risk Register. Council staff are members of West Yorkshire Prepared, the local resilience forum, which provides a good conduit for horizon scanning of changes to risks and threats. Together the NRA, West Yorkshire Community Risk Register and the work of the West Yorkshire Resilience Forum informs the review and update of the council's corporate risks on City Resilience and Council Resilience.

Active membership and participation with professional risk management organisations such as ALARM and the Institute of Risk Management (IRM) help us identify new and emerging risks as well as changes to existing risks facing the council and the city.

Council Values and Behaviours and risk

Through the risk management arrangements, the council seeks to embed an effective risk management culture across its values, and in the behaviour of all its staff and elected members. It is important that the strategic ambitions and objectives are aligned to the organisation's risk culture and risk management arrangements and the Values and Behaviours are followed. Where this is not the case, there would be an increased likelihood of risks occurring and their impact being material.

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 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 major flooding or a 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 – a major disruptive event in the city being a 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’ based on a reasonable worst-case scenario, 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 takes a balanced approach, recognising 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.

Managing risk is the responsibility of everyone, is at the heart of the council’s culture and values and has to be reflected in the behaviours of staff and elected members. This helps ensure that risk decision making is both open and transparent.

Current corporate risks

The risk map overleaf at Figure 1 summarises the risks on the corporate risk register at July 2021 and their current ‘reasonable worst-case scenario’ 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 and council resilience
- Climate change adaptation / mitigation
- 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: major flooding, major cyber incident, care market sustainability and escalating levels of poverty in the city. 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.

Figure 1: Corporate Risk Map at July 2022
Supporting our Best City ambitions

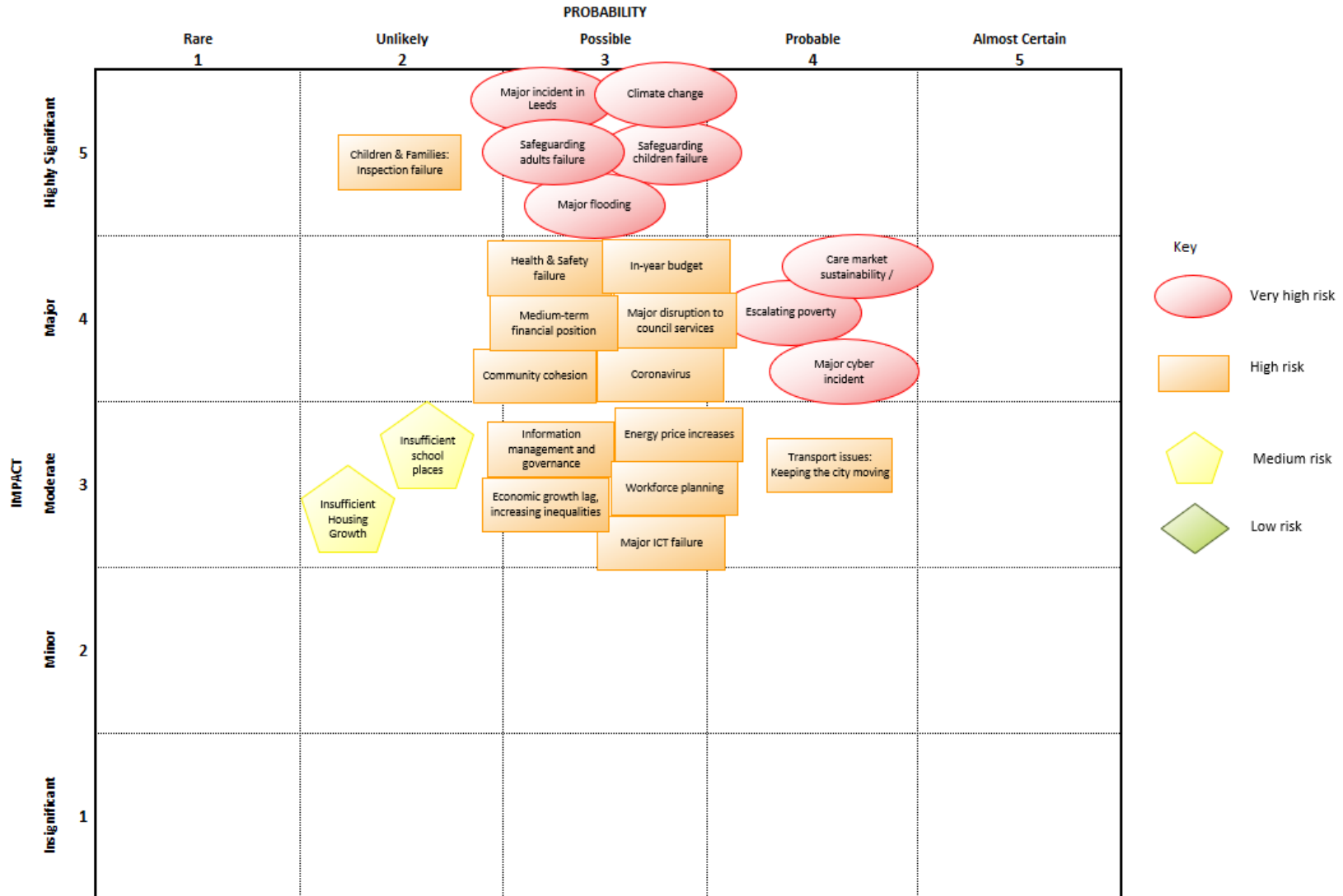


Table 1: Overview of significant and ‘standing’ corporate risks

Risk area	Description	Accountability (Risk owners)		Current Rating
		Senior officer	Member & Portfolio	
Major cyber incident	Risk to citizens, council and city as a result of digital crime, process failure or people’s actions	Neil Evans, Director of Resources	Cllr D Coupar: Executive Member for Resources	Very High
Care market sustainability	Without a thriving care market in the city, there is a risk that people in need of care services are not able to access them when needed or that services are not of sufficient quality	Cath Roff, Director of Adults and Health	Cllr F Venner: Executive Member for Children, Families and Adult Social Care	Very High
Escalating poverty	The impact of poverty in the city escalates due to factors such as inflation, fuel, food and energy prices increases.	James Rogers, Director of Communities, Housing & Environment	Cllr M Harland: Executive Member for Communities	Very High
Safeguarding children	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
Safeguarding adults	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
Major flooding	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 & Housing	Very High
City resilience	Risk of significant disruption in Leeds	Neil Evans, Director of Resources	Cllr D Coupar: Executive Member for Resources	Very High
Climate change	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 Infrastructure and Climate	Very High
In-year budget	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 D Coupar: Executive Member for Resources	High
Medium-term financial position	The council cannot balance its Medium-Term Financial Strategy	Neil Evans, Director of Resources	Cllr D Coupar: Executive Member for Resources	High
Council resilience	Risk of significant disruption to council services and failure to effectively manage emergency incidents	Neil Evans, Director of Resources	Cllr D Coupar: Executive Member for Resources	High
Health and safety	Risk of a health & safety failure resulting in death, injury, damage or legal challenge	Neil Evans, Director of Resources	Cllr D Coupar: Executive Member for Resources	High
Information management	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 D Coupar: Executive Member for Resources	High

Major cyber incident corporate risk assurance

Risk overview

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. Cyber criminals seek to exploit UK public organisations and infrastructure for profit. Their technical sophistication varies from small scale fraud from individuals and gangs to advanced organisations. The world cyber climate also presents threats; following the attacks on Ukraine, the [National Cyber Security Centre](#)¹ (NCSC) called on organisations in the UK to bolster their online defences. Internal threats to cyber security can arise from the inadvertent actions of employees, or from the malicious intent of insiders such as disgruntled or former employees.

Key controls in place to manage the risk

- **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. This is complemented by the Remote Working Policy which includes information security measures for staff working at home or offsite.
- **Technology** – Filtering, blocking, scanning, firewalls, encryptions and access controls help prevent breaches of the council's IT network, council devices and systems. Over the last 12 months the level of cyber alerting, which assists the monitoring of cyber security threats for public sector organisations, has increased. The council network is subject to approx. 5 million system intrusion blocks each month.
- **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 and cyber essentials plus 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. Enhanced training to be developed for relevant staff.
- Progressing the outcomes of a regional disaster recovery exercise themed around a major cyber-attack.
- Implementing new cyber-resilience tools
- Continue to follow industry best practice and adopt any future updates from sources such as the Information Commissioners Office (ICO) and the National Cyber Security Centre.
- Funding from DLUHC to improve our cyber posture and an action plan setting out how this will be spent.

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 report from February 2022, is available [here](#).

DLUHC Digital is developing a local government cyber security standard, termed the Cyber Health Framework. Further details can be seen [here](#).

¹ - The NCSC also issues cyber security guidance for public sector organisations.

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

Care market sustainability corporate risk assurance

Risk overview

The Care Act 2014 places a duty on the local authority to promote the efficient and effective operation of a market in services to meet the care and support needs of adults within its area which includes ensuring that people have access to high quality services and providers in the city. £248m (65%) of the Adults and Health Directorate budget³ is spent on externally commissioned care and support services. Without a thriving care market in the city, there is a risk that people in need of care services are not able to access them when required or are not able to access quality services when required, placing the council in breach of its legal duty. The availability of staffing within externally commissioned services is still a major concern within the care market. In addition, there are significant financial pressures on the sector particularly in relation to rising energy and fuel costs and the ending of additional funding from the government through the Workforce Recruitment and Retention Fund and Infection Control Fund.

Key controls in place to manage the risk

- Quality frameworks implemented in services commissioned by the authority which include provisions for financial monitoring, business continuity planning as well as monitoring the quality of the service.
- Adult Social Care Provider Forum held with care providers and the wider care sector to discuss wide ranging issues affecting the care sector in the city such as financial climate and workforce.
- Additional funding has been provided for the 2022/23 home care contract to raise the wages of staff in the independent sector to a level above the Real Living Wage to assist providers with recruitment and retention.
- Closer working with the CCG to better manage the oversight of the regulated care markets.
- Contract management meetings with individual providers and sector provider forums.
- A plan, including lessons learnt, is in place ready to be used in the event of a care provider failure.
- Liaison with the CQC through regular contact between inspectors and officers and regular information sharing meetings to gather early intelligence on poor quality services being provided.
- Information sharing with the care market through a regular care bulletin and improved care quality website.

Further actions planned

The Government's Market Sustainability and Fair Cost of Care Fund will be implemented in the city over the next three years. This fund has the aim of increasing local authority fees payable to independent sector providers and strengthening internal commissioning and contract management capacity to ensure greater market oversight. The Fund requires the completion of a cost of care exercise for older adults care homes and 18+ home care, together with the completion of a Market Sustainability Plan.

Additional actions being progressed include:

- Leeds has been taking part in national recruitment campaigns with the NHS to recruit people into social care roles in the city.
- A significant programme is underway to recommission home care services in the city.
- Work is currently ongoing to identify the providers who may be more affected by market issues and therefore at greater risk of financial instability.

More information

[Market sustainability and fair cost of care fund 2022'23 guidance.](#) Sets out the guidance to support local authorities in administering the Market Sustainability and Fair Cost of Care Fund.

³ Gross Managed Expenditure Budget

Escalating poverty corporate risk assurance

Risk overview

At the heart of the [Best City Ambition](#) is the mission to tackle poverty and inequality and improve quality of life for everyone who calls Leeds home. The council and partners across the city have been recognised for the work undertaken on reducing poverty for many years. Despite this, poverty and financial exclusion have continued to worsen in Leeds and across the UK, and in the wake of the COVID-19 pandemic, the situation has now been further intensified by the cost of living crisis. Barriers including lack of awareness or understanding, and digital exclusion are further compounding the situation and are preventing people from reaching services. With more households experiencing hardship for the first time, and many already below the poverty line facing destitution and desperation, the wide-ranging citywide support offer must be both maintained and enhanced to support Leeds residents and prevent further escalation.

Key controls in place to manage the risk

- The council's Financial Inclusion Team works closely across council services and alongside national and local partners such as DWP, Advice Agencies, [Leeds Credit Union](#), [Leeds Food Aid Network](#) as well as many third sector organisations, to run initiatives and schemes that reduce the impacts of poverty and strengthen the financial resilience of residents and communities in the city. The team is responsible for the [Money Information Centre](#) website and the [Leeds Poverty Factbook](#).
- The Healthy Holidays initiative which provides activities and meals to children eligible for free school meals during the Easter, Summer and Christmas holidays.
- Addressing food insecurity through [Leeds Food Aid Network](#), [Fare Share and Rethink Food](#).
- [The Leeds Migration Partnership](#) is working on influencing organisations, to prevent them from excluding people e.g. The move to a cashless approach means asylum seekers are unable to access services. Partner support those who are destitute, by supplying mobile phone data and emergency food provisions.
- Neighbourhood Improvement Boards & Community Committees
- Local Welfare Support Scheme, providing emergency support for food, fuel and essential household items.
- The Household Support Fund provides households with payments to help with essentials such as food, utilities and clothing.
- The Child Poverty Strategy for Leeds focuses on ensuring that poverty presents no barriers for our children and young people.

Further actions planned

Work is being undertaken on developing a city solution to welfare provision and on addressing the cost-of-living crisis. This work is reflected in the 'Understanding and Addressing the Cost-of-Living Crisis' report to July Executive Board, with recommendations including:

- To approve the establishment of a strategic, cross cutting, welfare group with the aim of taking a proactive approach to addressing issues Leeds residents face relating to the cost of living crisis
- To agree to bring forward a themed report on the cost of living crisis, for each of the three pillars of the Best City Ambition.

More information

- [The Leeds Poverty Factbook](#) helps us to understand and document the levels of poverty in Leeds; inform policies and assist in the City's anti-poverty agenda. The Fact Book contains national and locally sourced data and information to help define and analyse the different themes of poverty.
- [Financial Exclusion and Poverty - Historic Trends in Leeds](#). This research data and evidence has helped us to direct decisions on where resources should be focussed.

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

- **Early Help Hubs:** Multi-agency services located in communities where families live. This ensures that families have access to the services they need to provide appropriate support in a timely and accessible manner. Provide capacity for Leeds to address issues across the whole early help offer. For example, Early Help practitioners from the Hubs are now working alongside colleagues at the Front Door to better align early help services with Duty and Advice, directly preventing escalation into statutory services where appropriate by offering a timely early help response.
- **The [Front Door](#)⁴ Safeguarding Hub:** Partners are co-located and work in partnership to safeguard children and young people. Professionals can have direct conversations with qualified social workers, which leads to a better-quality of information sharing at an early stage.
- **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). The LSCP has close working relationships with a range of organisations, including those from the health, housing and third sectors, and the Leeds Safeguarding Adults Board. This enables partners to work towards making Leeds a Safe Place for Everyone. Partnership working also include learning from experience (lessons learned) to improve the way we work.
- **Inspection:** The most thorough assurances for this risk are the independent external inspections by Ofsted and the Care Quality Commission (CQC). The [most recent Ofsted inspection](#), in February 2022, found services for children to be outstanding, retaining the judgement from the 2018 inspection.
- **Social work structure:** The structure of the Social Work service in Leeds and the delivery of early help through the cluster working model both reflect the importance of targeted work to support children, young people, and families in the most deprived areas of the city. As is the case nationally, deprivation in Leeds is linked to high levels of demand for social work services, and the Children's Social Work Service has responded proactively to this, establishing additional social work teams in areas of particularly high demand and locating its Early Help Hubs in these areas as well. We will work to maximise recruitment and retention by further improving our recruitment systems.
- **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

⁴ 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.

review. In the 2022 Ofsted inspection, it was noted that, “since the [focused visit](#) [July 2022], the quality assurance framework and audit process have been reviewed and refreshed. Audits are now completed by team managers independent from the child’s social work team, leading to greater oversight and independent scrutiny of the quality of practice”.

- **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 is engaged in regular regional peer challenges and health checks that provide a strong methodology for support and challenge across the region.
- **Children Missing Education (CME):** procedures and protocols in place. All known CME living in Leeds are allocated a key worker to support admission into a school. Relevant staff are trained so they are able to establish the links between CME and other issues including child sexual exploitation, human trafficking and domestic violence.

Further actions planned

As the country moved from lockdowns and containment strategies to ‘living with Covid’, Children and Families have published a Covid-19 Transition Plan, which brings together activity from within the directorate, other council services, and partners to support key improvement priorities from the Children and Young People’s Plan. Selected actions from this plan include:

- Strengthening our approach when working with those affected by domestic violence and abuse.
- Reviewing and enhancing the Continuing Professional Development offer to social care practitioners.
- Completing the Early Help review and proposing new delivering models for Family and Community Hubs and our therapeutic support offer.
- Improving the quality of strategy discussions and ensuring key partners are involved.

Other actions include:

- Ongoing work in response to domestic violence and abuse and to children at risk of exploitation.
- Recruitment and additional demand upon the service continue to be of significant concern; however, the transition plan is achieving some progress. There are no quick gains as these are national issues and Leeds is working with other local authorities and the Department for Education in trying to find national solutions.
- Ongoing [campaigns](#) through the Leeds Safeguarding Children Partnership.
- A review of Early Help services in Leeds includes the establishment of Family and Community Hubs, which build on our existing model of Early Help Hubs. The review will simplify structures and processes to make access to support easier for families, whilst also realising efficiencies and minimising duplication; ensuring people receive the right service at the right time.
- Leeds is one of 18 local authorities who are part of a national project implementing the Workforce Race Equality Standard. The programme began in April 2021, with key areas of focus on nine metrics by which local authorities measure their performance in relation to BAME workforce equality. For the first six months of the project, Leeds collated data to explore and develop insight into inequality within the Leeds workforce. The data has informed the next steps of the project which will look at grievance reporting and the way in which associated information is collated and reported.

More information

For more details on how the council and its partners are working together to ensure that services are delivered in the right way, at the right time, so that children are safe, please refer to the Leeds Safeguarding Children Partnership website, [here](#).

The letter from the February 2022 Ofsted inspection is 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](#) (LSAB) 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 Partnership](#), the city's community safety partnership. Linked to this, the LSAB has close working arrangements with a range of organisations including the Leeds Safeguarding Children Partnership.
- Checks are made by the [Care Quality Commission](#) (CQC⁵), 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.
- In 2022 [an Exceptional Risk Forum](#) was established by the SAB, offering a fresh perspective and multi-agency advice and recommendations as to how a vulnerable person's risk could be reduced. An evaluation of progress to date was presented to the SAB in April.

Further actions planned

A Yorkshire and Humber Peer Challenge took place in April 2022 and the outcomes from the recently issued report are being evaluated and an action plan put in place. There are also a number of new developments from the LSAB which will positively impact including a review of workforce development and training for commissioned and third sector services.

More information

The most recent Leeds Safeguarding Adults Board annual report (2020/21) is available [here](#).

⁵ 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.

Major flooding corporate risk assurance

Risk overview

Major flooding presents a clear threat to a wide range of stakeholders in Leeds. In recent years, Leeds has experienced a number of major flooding incidents including Storm Eva on Boxing Day 2015, which affected 3,500 homes and businesses and the more recent major storms of 2020 (Ciara and Dennis) and 2022 (Dudley, Eunice and Franklin).

Specific threats to communities and businesses from flooding include:

- Adverse impact on residents: loss of life or injury; personal distress and/or temporary homelessness.
- Damage to and contamination of domestic and business properties on large-scale.
- Damage to vital infrastructure of district, e.g. roads, rail, power, communications, water.
- Loss of confidence in the ability to cope with flooding leading to a decline in inward investment.

Flooding is the most significant climate risk we face as a city, but it's also important that actions to address this risk are progressed alongside work that the council and partners are doing across a whole range of other climate risks so that a more climate resilient city is developed.

Key controls in place to manage the risk

- The River Aire Flood Alleviation Scheme Phase 1 is one of the UK's largest flood defence projects and the first in the country to use moveable weirs as a pioneering solution to flooding. The scheme aims to reduce the risk of flooding in the city centre.
- A range of local initiatives across the city completed in recent years including the Wyke Beck Naturalised Flood Management Programme and Otley Flood Alleviation Scheme.
- Working closely with other local authorities and partners that oversee the investment in flood risk across the Yorkshire region as part of the Regional Flood and Coastal Committee. Together, these form the West Yorkshire Resilience Forum for preparedness to respond to major and often cross boundary emergencies.
- Arrangements are in place to warn and inform the public and businesses about incidents via a range of channels including Leeds Alert⁶, twitter: @leedsemergency and the Emergencies page of [Leeds.gov](https://www.leeds.gov.uk).
- A Local Flood Risk Management Strategy which outlines the approach the council and other agencies will take. The Strategy contains: the objectives for managing flood risk; measures proposed to achieve those objectives; timeframes for any measures and their costs and benefits and funding plans.

Further actions planned

- In conjunction with the Environment Agency, the council is progressing the Flood Alleviation Scheme [Phase 2 \(FAS 2\)](#). When completed later in 2023, FAS2 will see the city move from one with no flood defences to one with 1:200 year standard of protection.
- The development of a capital programme of local initiatives to reduce the risk of flooding across Leeds to improve the resilience and self-reliance of communities including the use of Nature Based Solutions..
- Working with partners across West Yorkshire including academia and West Yorkshire Combined Authority, businesses and other organisations to develop greater resilience in the city.

More information

- Details of schemes including FAS 2 can be seen at [Leeds City Council Flood Resilience](#)
- The most recent [Flood Risk Management](#) report to the Infrastructure, Investment & Inclusive Growth Strategy Board in February 2022 (Item 7).
- Information on how to prepare for and respond to [emergencies](#) including flooding on the [leeds.gov](https://www.leeds.gov.uk) website.

⁶ The warning and informing tool for businesses and members of the public to subscribe to

City and council resilience corporate risk assurance

Risk overview

Leeds, like any other major city, can suffer disruptions caused by the impact of a major incident or emergency. Under the Civil Contingencies Act (2004), category 1 responders⁷ which include local authorities, have a statutory duty to be prepared for emergencies and to be able to continue to deliver critical aspects of their day-to-day functions in the event of a disruptive incident. Disruptive incidents can take many forms and should any of them arise then the impact would be felt externally, by citizens, communities and businesses, and internally, by the services delivered by the council which may be reduced or even suspended. Leeds has experienced a number of disruptive incidents in recent years with the coronavirus pandemic presenting the city, its people and communities with the biggest challenges, post war. The risk would be exacerbated should more than one major incident occur in the city at the same time.

Key controls in place to manage the risk

- 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 partners.
- 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.
- Arrangements are in place to warn and inform the public and businesses about incidents via a range of channels including Leeds Alert⁸, twitter: @leedsemergency and the Emergencies page of [Leeds.gov](#).
- The council and multi-agency partner organisations' ability to quickly assemble a 'Gold, Silver, Bronze' command structure in line with JESIP (Joint Emergency Services Interoperability Programme) principles.
- Incident Response and Business Continuity Plans that cover both the response and recovery aspects.
- Provision of advice and assistance to business and voluntary sector.
- Working together with partners from the Safety Advisory Group⁹ (SAG) to deliver events safely.

Further actions planned

- Attending regional exercises designed to test our plans and cascading outcomes and recommendations into Emergency Planning and Business Continuity Management arrangements.
- Ongoing work with businesses and other organisations to develop greater resilience in the city.
- Promoting resilience in the city by communicating effectively with communities, businesses and the public.
- Continuing to support national counter-terrorism campaigns and initiatives.
- Learning from incidents that happen to other organisations and contribute to any lessons learned from them.
- Implementing recommendations from the Government's [Protect Duty](#) consultation – designed to make the public safer at publicly accessible locations.

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](#).

⁷ 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.

⁸ The warning and informing tool for businesses and members of the public to subscribe to

⁹ 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. Leeds is already experiencing a warmer climate than the historical average. Further warming is highly likely, and it is important that we take steps to mitigate the impact on the people, communities, infrastructure, economy and natural environment of the city. Whether Leeds experiences the worst impacts of climate change¹⁰ is uncertain and will depend on progress to transition to a net zero economy both locally and globally. 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.

Key controls in place to manage the risk

Some of the controls are detailed in the city and council resilience risk 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.
- Increased use of electric vehicles in the council fleet.

Further actions planned

Reduce the level of greenhouse gas emissions from the city to net zero by 2030 by:

- Halving 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. This includes tackling emissions from 'grey fleet' – staff-owned vehicles used to carry out council services.
- Building sustainable infrastructure, including large scale renewable energy projects.

The council's website will be updated in the coming months to reflect, and signpost to, current plans and policies in relation to climate adaptation, along with information and guidance for residents and businesses summarising the hazards and how to build preparedness within Leeds communities.

Deliver enhanced city-wide engagement with every community in Leeds over the next 12 months to raise awareness of, and receive feedback on, the council's activity to support climate mitigation and adaptation.

The actions that the council can take within the powers and resources 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 national and regional engagement.

More information:

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

¹⁰ Such as impacts related to 2 degrees or more of global warming

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 2022/23, 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** – focussing on the annual funding settlement from government and wider reform of local government funding.
- **Budget preparation and setting** – revenue and capital budget planning, both for the upcoming budget year and over the medium term. Budget proposals are subject to scrutiny and public consultation and are submitted to Full Council for approval in February.
- **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 ensure 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.
- **Engagement** – the council value of 'spending money wisely' is part of the organisational culture and, along with the other shared Values and Behaviours, forms part of staff appraisals.

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. In addition to the inherent pressures on the council's financial position due to demand and demography, there needs to be a continued focus on dealing with the financial implications for the council from the coronavirus pandemic, pay and price inflation and consideration of the economic impact of the rising cost of living, both in terms of demand pressures for the council's services and loss of income for services the council provides.

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 2022.

More information

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

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. Civil claims for compensation can also be brought against the organisation by employees or members of the public injured due to the council's work activities.

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 which are fire safety, staff and building security, violence & aggression, vehicle safety, mental health, Musculoskeletal Disorders, auditing, construction safety, risk management and hazard reporting. The new priorities cover the period 2022-2025.
- **H&S training, advice and support** – available internally for all staff through an in-house H&S and Occupational Health Team. Regular communications and engagement with staff on health, safety and wellbeing matters. Recent launch of 'Let's Talk H&S' for Managers as part of the council's Leadership and Management Development offer and mandatory fire safety awareness training for all staff.
- **Processes & reporting** – Regular reporting on H&S issues and performance to a range of internal stakeholders, including 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 various Directorate & Service level H&S Committees. Best practice is also shared between the council and other organisations through our networking arrangements.
- **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). The Concordat aims to provide a framework to ensure that the roles and responsibilities of the two organisations are effectively translated into practical working arrangements.
- **Staff networks** - a wide range of staff network groups; a valuable resource that support and represent staff on issues or topics they relate to, or associate with. The networks include the Healthy Minds Group and Disability and Wellbeing Network (DAWN) which are both linked to health, safety and wellbeing.

Further actions planned

Over the coming months, actions will be focused on how council services can continue to recover from the coronavirus pandemic whilst maintaining health, safety and wellbeing standards. The 3-year plan on improving ten priority areas will assist with focussing on key areas of risk. Accompanying policies and guidance documents will also be reviewed and amended in line with this.

The council has a strategy for employees to support health and wellbeing. this is currently under review and will be revised later in 2022.

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 next report is scheduled to go to Executive Board in September 2022.

The [Health and Safety Executive](#) website provides H&S information, news and resources to help organisations.

Information management and governance corporate risk assurance

Risk overview

Failure to manage personal information properly could cause serious 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. The Remote Working Policy for council staff includes information security measures for staff working at home or offsite
- **Technology** – the use of an IT system which simplified and replaced some of the previous 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)¹ 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.

- Further development towards an overarching and consistent Information Management Framework with associated policies and procedures updated and embedded.
- Development and implementation of the new statutory requests processes, including the implementation of a new, more easily configurable IT system.
- Undertaking a review of the current Data Protection Impact Assessment² (DPIA) process, utilising an appropriate system to maximise business efficiency and assurance.

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 February 2022, 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.

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

² A Data Protection Impact Assessment (DPIA) is a process to help organisations identify and minimise the data protection risks of a project. It is also good practice to do a DPIA for any other major project which requires the processing of personal data.

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.

