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## Report of the Director of Resources

### Report to Executive Board

Date: 17<sup>th</sup> June 2009

### Subject: Annual Report on Risk Management

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#### Electoral Wards Affected:

Ward Members consulted  
(referred to in report)

#### Specific Implications For:

Equality and Diversity

Community Cohesion

Narrowing the Gap

Eligible for Call In

Not Eligible for Call In

(Details contained in the report)

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## EXECUTIVE SUMMARY

1. This report provides an update on the Council's risk management arrangements. It notes key developments since the previous report in January 2008, outlines areas for improvement, and discusses how these will be addressed.
2. The report also summarises Executive Board's and Corporate Governance and Audit Committee's roles and responsibilities for risk management under the Council's Risk Management Policy and the new requirements through the Audit Commission's Comprehensive Area Assessment.

## **1.0 Purpose of this Report**

- 1.1 This report provides Executive Board with an overview of the Council's key risk management developments over 2008-09, reports on the corporate risk register and highlights future areas of work to improve our risk management arrangements. This provides assurance to the Board on the efficacy of these arrangements.

## **2.0 Background Information**

- 2.1 Under the Council's Risk Management Policy (updated and approved by Executive Board in January 2008), Executive Board is charged with ultimate responsibility for ensuring that the Council has effective risk management arrangements in place. As such, its roles include identifying risks associated with the delivery of the authority's strategic outcomes, providing appropriate challenge on risk assessments in relation to strategic decision-making and ensuring that the risk management implications of its strategic priorities and all major business change proposals coming before it have been satisfactorily taken into account. (Risk Management Policy, section 5.1)
- 2.2 Elected members also have specific risk management duties through the requirements of the Audit Commission's new Comprehensive Area Assessment (CAA). The new requirements will be highlighted in the main body of the report.

## **3.0 Main Issues**

### ***Strategic Risk Management***

- 3.1 In 2008, the corporate risk register was completely revised in line with the new strategic outcomes and priorities drawn up in the Leeds Strategic Plan and Council Business Plan (2008-11). There are now 33 risks on the register which is updated and formally reviewed by senior officers across the organisation each quarter. The corporate risk register is underpinned by directorate risk registers, programme and project risk registers and service-level risk registers. It was reviewed and supplemented in the spring of this year by Executive Board and Corporate Governance & Audit Committee members.
- 3.2 At the time of writing, the register is due its next quarterly review and it is likely that some changes will be necessary: for example, new risks are emerging (e.g. reliance on PFI contractors, Children's Services' inspections) and the assessment of current risks is likely to change. However, the latest version of the Council's risk map is attached at Appendix 1 with an explanation of the management of our most significant corporate risks. This was submitted to Corporate Governance & Audit Committee in April 2009. Briefings to Executive Board will now take place on a six-monthly basis starting in September 2009, with specific focus on the corporate risk register.

### ***Project & Programme Risk Management***

- 3.3 In the next quarter, a project survey will capture the proportion of major projects with risk registers in place but even in the absence of this information, we have confidence that project risk management is becoming more embedded in the organisation as demand for the Risk Management Unit's risk management workshops<sup>1</sup> supporting major projects and programmes continues to grow as does the number of 'hits' on its project risk management web pages. The rollout of the Council's corporate project management methodology (Delivering Successful Change) has aided in providing a consistent approach to risk management as evidenced by the quarterly 'health checks' carried out by the Project Assurance Unit of a large cross-section of projects.

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<sup>1</sup> 2008/09 workshops have included Extra Care Housing (Adult Social Care), New Ways of Working (City Development), Waste Solutions Programme (Environment & Neighbourhoods), Neighbourhood Network Schemes (Adult Social Care and NHS Leeds) and Sports for the Future (City Development).

- 3.4 Risk registers are in place for all the Council's PFI projects with Project Boards responsible for ensuring mitigating actions are undertaken. The Public Private Partnerships Unit (PPPU) has confirmed that they keep these PFI registers up-to-date.

#### ***Partnership Risk Management***

- 3.5 Partnership risk management requirements have been built in to the Council's Partnership Framework and guidance given in both the accompanying toolkit and within a more detailed 'Partnership Risk Management Guide'. A Partnership Register has been established to identify the Council's most significant partnerships and these (and the major programmes and projects such partnerships are often formed to deliver) will be the focus of risk management reviews in the coming year.
- 3.6 A new corporate risk has been drawn up focusing on the reliance of the Council on its PFI partners and the corporate risk on information management (i.e. storage and sharing) has been extended to explicitly state that this includes information stored and shared with external partners as well as across the authority. A number of other corporate risks are beginning to be actively shared with external partners for joint maintenance and reporting where the management actions are shared between the Council and external organisations: for example, some of the actions around our emergency management and response risks are progressed by police officers while other social care and education risks are jointly managed by staff from Children's Services, Education Leeds and NHS Leeds. Joint risk registers exist for a number of projects and priorities, such as that maintained by the Integrated Strategic Commissioning Board (Children's Services).
- 3.7 Work is also planned to review the reliance of our defined 'critical services' on external partners and contractors and to ensure that business continuity arrangements are sufficiently robust should one or more of these suppliers fail.

#### ***Financial Risk Management***

- 3.8 Included within the budget report to Executive Board is a commentary on the major areas of risk within each directorate. Areas of high risk are very closely monitored and there have been significant successes around action planning. In addition, a financial risk assessment is carried out each year to identify, assess and manage the principal risks that could threaten the delivery of the Financial Plan.
- 3.9 The directorate budget risk registers are monitored and reviewed on an ongoing basis and reported quarterly. This helps to ensure that financial risks and their implications are regularly and appropriately reported and acted upon within directorates, facilitating corporate challenge in the process. Any significant risks are also reported to the lead portfolio member.
- 3.10 A risk-based reserves strategy is in place to ensure that reserves are maintained at an appropriate level to secure long-term financial stability. This is reviewed and updated each year prior to the finalisation of the budget process and contributes to the evidence required for the Director of Resources to give assurance on the robustness of the budget and the adequacy of reserves. Risk management is also at the heart of the Council's approach to treasury management.

#### ***Corporate Governance & Audit Committee***

- 3.11 The Corporate Governance and Audit Committee is charged with reviewing the adequacy of the Council's internal control arrangements, including risk management. It receives risk management update reports every six months to provide it with a level of assurance on the Council's risk management arrangements. Feedback on the committee's risk work is provided to the Leader and relevant Executive Member (as part of a series of regular briefings) as well as to Full Council through the Committee's annual report. The Committee, Executive Board and Scrutiny Boards all request additional reports as needed to assure

themselves that key risk areas, such as Safeguarding and Waste Solutions, are being properly managed. Members also engage in corporate and budget risk management through their portfolio work.

- 3.12 Risk management training is provided to all members with specific responsibilities for risk management, notably Executive Board and Corporate Governance and Audit Committee.

### ***Assurance***

- 3.13 Since the last report to Executive Board in January 2008, the authority continues to embed risk management at strategic and operational levels. This progress has been recognised through the achievement of a CPA rating of level '3', despite the challenges of the Audit Commission's 'Harder Test'.
- 3.14 Significant changes to the Audit Commission's inspections have now come in through the establishment of the Comprehensive Area Assessment in which it will no longer be sufficient to evidence the Council's risk management arrangements in isolation: from 2009, we shall also need to evidence the strength of our shared risk management arrangements with partners. Other key requirements under CAA include senior management commitment (officers and members) to ensuring the council embeds risk management in all its business processes, ranging from strategic planning to financial planning, performance management to project management and policy making, audit and review. Local authorities must also be able to demonstrate a positive risk culture, for example by taking and managing significant risks to deliver innovative and challenging projects. The audit focus has very much shifted from reviewing risk management processes to seeing how these processes are being used to bring about outcomes.

### ***Future Improvements***

#### Risk Management Software

- 3.15 The biggest single improvement to the quality, consistency and ease of maintaining and reporting on risk registers will be the implementation of the Council's new risk management software system. At the time of writing, the final bespoke developments are being made to this web-based system in preparation for a phased roll-out. Over time, it is anticipated that all risk registers (whether these are budget-, service-, project- or any other level) are housed on the system. This will address the concern raised recently by Executive members in their risk management training over the current lack of consistency (format and amount of detail included) in the various risk registers they have sight of. The software will also be accessible to our partners, enabling better management of shared risks.

#### Partnership Risk Management

- 3.16 As noted above, partnership risk management is an area requiring significant attention and so will be the focus of additional work during the year.

#### Risk Management in Decision-Making

- 3.17 At present, risk assessments in reports for key decision-making vary greatly in terms of how much information they provide, whether they fully explain the possible impacts of the risks associated with each option and how these might be managed. A number also lack an analysis of the risks versus the benefits. To address this, the templates and associated guidance for reports for decision-making will be revised in the coming year to strengthen the options appraisal and risk management sections.

## Leeds Risk Management Framework

- 3.18 Over the coming year, the Council's Risk Management Policy, Strategy and Toolkit (together, these documents form the Leeds Risk Management Framework) will be substantially revised to take into account changes resulting from the software, CAA and the new British and International Standards on Risk Management.
- 3.19 The changes will also be informed by ongoing benchmarking and self-assessment. Further, a major piece of work is planned to identify how risk management is currently used to inform decision-making and priority-setting.

## Risk Management Training

- 3.20 The Risk Management Unit will continue to provide relevant training. A massive training programme for all those set up on the risk management software system will be undertaken to cover not just how to use the system but to ensure that everyone has a good understanding of risk management processes and how to apply it. Better identification of training needs will be obtained through the rollout of a risk management competency framework through which all managers will complete a self-assessment as part of the appraisal process.
- 3.21 The Risk Management Unit plans to supplement its face-to-face training with the development and rollout of risk management e-learning modules. This will help widen the focus of risk management to the operational as well as strategic levels.

## **4.0 Implications for Council Policy and Governance**

- 4.1 This report provides information for Executive Board on the Council's risk management arrangements to enable it to fulfil its risk management responsibilities under the authority's Risk Management Policy and requirements through the Audit Commission's Comprehensive Area Assessment. It will also provide additional risk management assurance for the Council Leader to sign the annual Governance Statement.

## **5.0 Legal and Resource Implications**

- 5.1 Nothing to report.

## **6.0 Conclusions**

- 6.1 Since the previous annual report presented to Executive Board on 23<sup>rd</sup> January 2008, the authority has continued to develop its risk management arrangements. Project risk management is becoming more consistent and more accepted as an integral part of project management.
- 6.2 However, whilst excellent processes are in place, they are not always consistently implemented and there are also known gaps in the areas of directorate, project, programme and partnership risk management. These gaps will be addressed through the 'future improvements' outlined above.

## **7.0 Recommendations**

- 7.1 It is requested that Executive Board notes this report and progress made on further embedding risk management across the authority.

### ***Background papers:***

There are no background papers relating to this report.

## Appendix 1: Corporate Risk Management at Leeds City Council

### Introduction

Leeds City Council provides a massive range of services to the people and city of Leeds, from social care to refuse collection, from managing local elections to processing benefits payments and from education to housing, to name but a few.

Given the importance, the diversity and the number of services we provide, it is essential that we recognise and manage the key risks that could threaten our organisation and the work that we do. Our corporate Risk Management Framework lays out processes and procedures to help us do this, resulting in the escalation of the most significant risks to a corporate risk register (CRR).

The CRR and the wider Risk Management Framework provide assurance to our customers, staff and elected members that we are aware of our biggest risks and that we have taken steps, as far as we can, to manage them. This means that they both less likely to occur and also have less of an impact if they did.

### Risk Management Process

All Council risks are identified, assessed and managed using a 6-step continuous process:



This process helps us to:

- Understand the nature of the risks we face.
- Be aware of the extent of these risks.
- 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.

We recognise that sometimes, the cost and time involved in managing the risk down to nothing would not be the best use of public money and we take this into consideration when developing our risk management action plans.

### Why Have a Corporate Risk Register?

The information within the CRR is unsurprising and, indeed, can already be found in the public domain in reports and papers produced by the Council or external inspectors. But having it captured in one place means that a great deal of information on our key risks is brought together in a relevant and consistent way. This consistency means we can compare the different risks on a broadly like-for-like basis and, by comparing them, we can identify which are the most significant and so which we need to focus attention and resources on. As risks are reduced, we can often downgrade them to be managed at a lower level of the organisation and so they are removed from the CRR.

## **What is a Corporate Risk?**

The Council's corporate risks can be roughly split into two types: those that mainly affect the City and people of Leeds and others that relate more to the way we run our organisation internally. An example of the first might include a major flood in the Leeds area or a breach in our social care responsibilities towards vulnerable people. An example of a more internal risk might be a failure to reduce our staff sickness levels.

The common factor in all of the risks identified in the CRR is that they are of sufficient importance to require the attention of our most senior managers and so all corporate risks are 'owned' by one or more of our directors who are charged with managing them.

## **Types of Corporate Risk**

The Council's corporate risks stem from a variety of sources, many of which are out of our direct control: for example, global events such as the economic downturn and climate change present immediate as well as long-term challenges as does the possibility of a 'flu pandemic. Closer to home, we often have to respond quickly to changes and targets imposed by central government and we must also recognise and meet the evolving needs of our citizens, communities and our own workforce.

Particularly at a time of growing financial pressures and the need to achieve more with less staff and a smaller budget, all of these factors contribute to the Council's risks.

## **Corporate Risk Assessment & Management**

Figure 1 below illustrates the risks on the CRR in February 2009 showing their relative ratings. Risk ratings are based on a combined assessment of how likely we think the risk is to occur and what would be its impact if it did. We use a consistent scoring mechanism to carry out this evaluation so that we can be sure our risks are all rated in the same way. When we evaluate the impact of a risk we consider the range of consequences that could result. These include the effects on the local community, any cost implications and whether the risk could affect our ability to meet central government targets or carry out our statutory and legal requirements.

You will see in Figure 1 that there are few risks in the lower half of the map and this is because risks with relatively low impacts in comparison to our corporate risks are managed at other levels of the organisation.

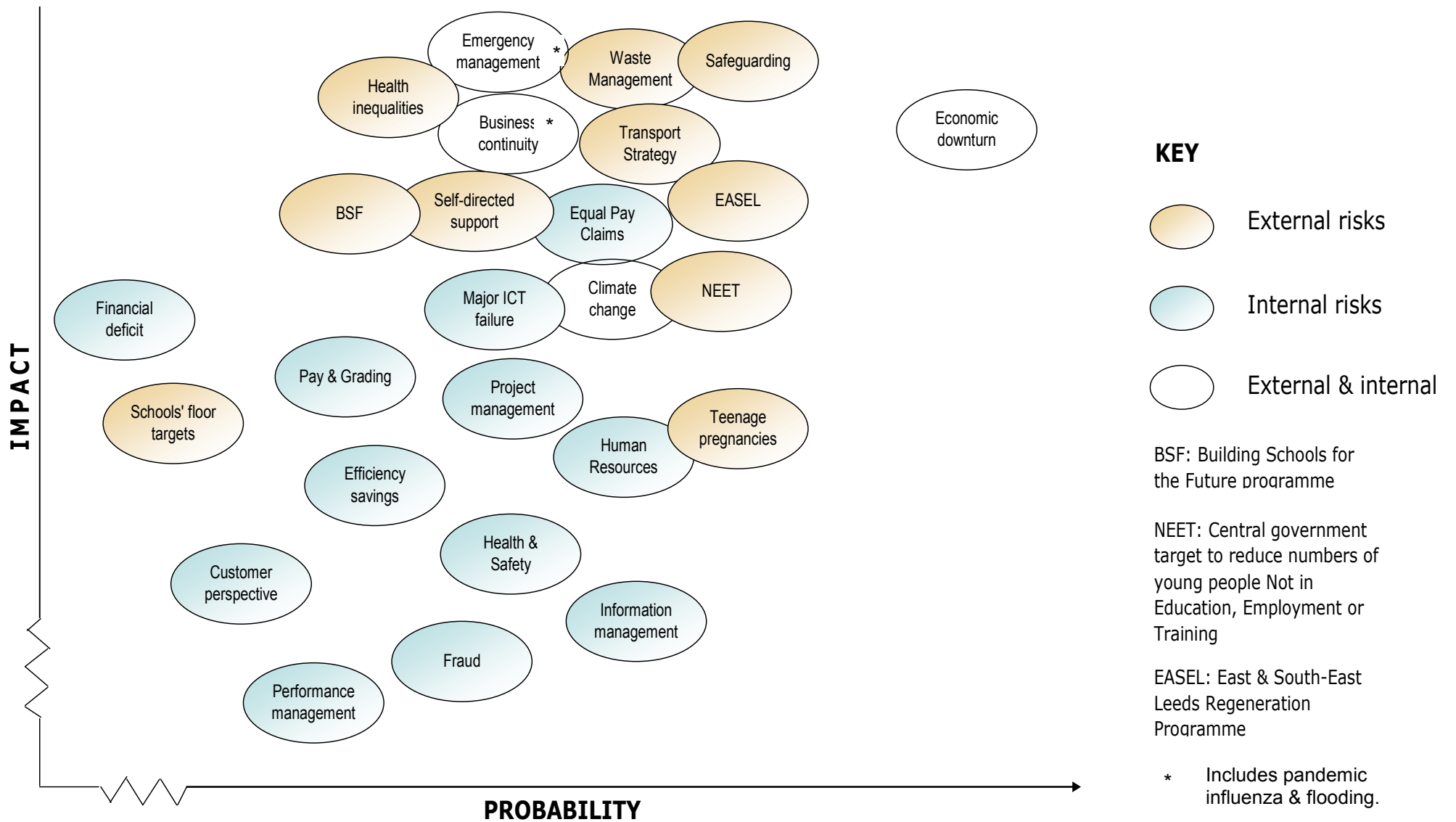
Action plans are in place for all risks in line with their ratings: i.e. the greater the risk, the more we try to do to manage it. We do accept, however, that some risks will always be somewhat out of the Council's control, such as a global or national 'flu pandemic, although what we can do is plan now to reduce the chances of its spreading further if it did happen.

The remainder of this document discusses the key risks highlighted in Figure 1 in more detail and outlines how the Council is managing them. Links to further information on each risk are provided.

## **Updating our Corporate Risk Register**

The CRR is a live document that is updated on an ongoing basis and formally reviewed each quarter. The register is continuously assessed against emerging risks and issues as identified through, for example, inspections and audits, consultation with our customers and staff and central government targets. It is also benchmarked against other local authority corporate risk registers and emergency risk assessments documented in central government's National Risk Register and West Yorkshire Resilience Forum's Community Risk Register.

**Figure 1: Leeds City Council's Corporate Risks as at February 2009**





# Economic Downturn

## Background

It has been a difficult and uncertain period during 2008/09: lower growth, higher inflation, falls in land and property prices and unemployment rates have started to rise. All these factors highlight that the UK economy is now in a recession. The economic downturn affects all sectors and presents local authorities with a potential conflict: how to manage their internal operations while also supporting businesses and people in their area through this difficult time. The Government is encouraging local authorities to utilise their position to uphold economic, social and environmental well-being in their area.



The full impact of the economic downturn is not perhaps yet fully evident however it is clear that local authorities will need to live within a tightly constrained funding envelope and continue to provide value for money. They will also need to deliver their leadership position to support their communities during this recession and ensure their areas' strategic outcomes and priorities are still delivered.

## What are the risks?

The present economic climate is tough for everyone and has presented the council with service delivery and budget challenges. The achievement of a number of Leeds' improvement priorities in the Leeds Strategic Plan and associated indicators and targets are at risk because they were dependant on continued economic growth and rising asset values. Key risks include National Indicator 152 and 153 worklessness targets, housing growth targets and regeneration schemes involving private sector developments. The recession has also impacted on the demand for services with increased pressures in some areas and increased costs, and reduced demand in other areas. As a result, the Council's income is falling in a number of areas including planning and building fees, rental income, surveyor and legal fees and leisure activities. It is not necessary possible or easy to cut costs accordingly. At the same time, the collection of monies owed to the Council becomes harder to collect as peoples' incomes are affected.



The current climate is also seriously affecting the Council's ability to generate money from the sale of surplus land and buildings which in the past has allowed it to invest heavily in services. At the same time the Council has received low percentage increases in Government grants, most certainly lower than the average of comparable cities. Although the Council's budget and capital programme reflects these pressures, there is a risk that the position will worsen further than currently anticipated.

The recent reductions in interest rates and turmoil within financial and banking sectors could also impact on the Council's operations. The Council manages its cash flow by either lending to or borrowing from banks and other financial institutions. The recent failures of some financial institutions have placed even greater emphasis on making sure the Council's money is safe. However, careful management has ensured that the Council has not suffered any losses through the failure of these institutions.

The Council works in partnership with private sector organisations to deliver selected programmes and projects such as Building Schools for the Future and EASEL (see pages 15-16 below for more information on EASEL). This exposes the Council to the risk of partners facing financial difficulty and, in a worst-case scenario, becoming bankrupt, significantly impacting the Council's ability to deliver high profile enterprises. This has already happened within other local authorities where contractors have pulled out of negotiations and the shortage of credit is making it increasingly difficult to secure Private Finance Initiative (PFI) deals.

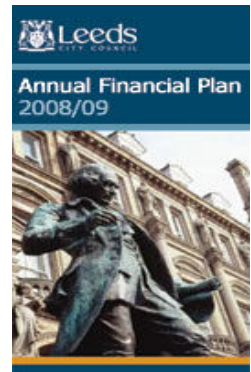
## How is the Council managing the risks?

One of the most significant steps that the Council has taken to lessen the impact of the recession on the residents of Leeds is to ensure that the Council Tax for 2009/10 remains one of the lowest in the country with only a 2.9% increase. Accepting that collection rates will be impacted upon, the Council has introduced more flexible payment plans for Council Tax and Business Rate payers who are experiencing payment difficulties, setting lower 'in year' collection targets, although its overall target to collect 99% of debts raised in the 'fullness of time' will remain.

Financial planning and monitoring the Council's financial position is crucial and is very much an ongoing process, as is the identification and delivery of agreed efficiencies. At all times, but especially during an economic downturn, the Council will need to continue to achieve and demonstrate value for money in its service delivery. The Council aims to ensure that frontline service provision will be maintained and proposes for example to deliver more value for money and improved customer service by keeping services open for three extra days..

The Council will continue to invest in Leeds, for example, by building additional affordable housing for the people of Leeds, building schools for the future, the proposed Leeds Arena and a range of investments to improve the infrastructure of the city. Further investment in housing will also continue through the PFI, Affordable Housing and Private Sector Renewal schemes. Funding has been allocated for investment in the Local Enterprise Growth Initiative which has been designed to create new job opportunities in the City's most deprived areas. By ensuring investment in Leeds, the Council is promoting growth in the local economy and maintaining the competitive image of Leeds as a happy place to live and work.

As one of the largest employers in Leeds, the Council is well placed to support local people and businesses during a crucial time for the local economy.



## Additional Information

For more information on the Council's strategic Financial Plan visit [Financial Plan](#)

For more information on the Council's Annual Financial Plan visit [Annual Financial Plan](#)

For more information on the Audit Commission's report on the impact of the economic downturn on local government finances visit [Audit Commission - Crunch time?](#)

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## Social Care: Safeguarding

### Background



'Safeguarding' describes the multi-agency responsibility of all those who work with children and young people, and with adults whose circumstances might make them vulnerable, to ensure that they are safe, protected and well cared for. For children and young people, this gives them the best chance to develop and grow up healthy and well prepared for adulthood. For adults, it helps to maintain good health and well-being, and assists them to live safe, independent lives.

Putting safeguarding at the heart of children's services work underpins much of the policy and legislation that the Government introduced through and since the 2004 Children Act. It is a priority for all children's services in Leeds and a responsibility of all those working with children and young people across the city, whether in the public, private or voluntary sector. Recent national developments have highlighted the importance of this and raised the profile of safeguarding work.

The Leeds Safeguarding Children Board brings together representatives of each of the main agencies responsible for promoting children's welfare and helping to protect children from abuse and neglect. It is responsible for developing, monitoring and reviewing child protection policies, procedures and practice within Leeds and for providing interagency training for staff across the city who work with children and families.



The local authority is responsible for leading and co-ordinating all Leeds' agencies to ensure that adults are effectively safeguarded. This work is undertaken by the Leeds Safeguarding Adults Partnership Board which draws its membership from the whole range of statutory and non-statutory agencies in the city as well as from representatives of stakeholder groups. The partnership ensures that vulnerable adults in Leeds are safeguarded against abuse and neglect, promotes independence, health and well-being and ensures that close links are maintained with all the other bodies with safeguarding responsibilities in the city.

### What are the risks?

We need to ensure that we can identify and accurately assess those at risk and respond with effective services before they develop into serious difficulties. Without robust procedures and systems in place to share intelligence and resources across all the agencies involved, there is a chance that we may not be able to do this for all children, young people and vulnerable adults.

Leeds City Council takes a central and leading role in safeguarding children and young people and at present, despite important strengths, serious incidents can still occur and we need to move further and faster to prevent them. Events in Haringey in November 2008, following the criminal trial with respect to the death of 'Baby P', have shone a national spotlight on safeguarding services, inspection arrangements undertaken by Ofsted, the independence of Local Safeguarding Children's Boards and the outcomes of serious case reviews. These reviews are important for dealing with systemic failures to safeguarding and assist all organisations to understand why failings in practice have occurred, to provide learning from that and to put in place actions to prevent similar occurring in the future. In addition, five years on from the 'Every Child Matters' agenda, the concerns about safeguarding children are still prominent.

In the summer of 2008, the Commission for Social Care Inspection (CSCI) evaluated Leeds City Council's performance in ensuring social care outcomes for its adult population had developed in line with the expectations of the Departments of Health and Communities and Local Government. In its report, the CSCI highlighted the arrangements for safeguarding adults as a very high priority for

improvement. Amongst the recommendations it made were to strengthen leadership and governance arrangements and ensure that more robust procedures were implemented across the Leeds Partnership. As with any partnership, the need for all agencies to work co-operatively towards a common goal is essential. Similarly, front-line staff need to fully understand and administer their safeguarding role effectively.

## **How are we managing the risks?**

### Children and young people

Key partner agencies in Leeds are undertaking reviews of their safeguarding services in light of the findings from the Haringey inspection and the wider context of the Baby P case. We are concentrating more attention on safeguarding to put it at the heart of all we do. We will ensure colleagues across all the agencies have the knowledge, confidence and support to make the right choices and help each other to keep children safe.

The Council is determined to institute rapid and robust reform to ensure safeguarding services are strengthened and become amongst the best in the country. This will require both direct interventions in service delivery and a programme of change to ensure the service has a stronger capacity to improve in the future. This programme includes:

- improved reporting and monitoring of each agency's safeguarding activities;
- implementing a consistent and co-ordinated approach to assessing the needs of children and young people;
- improved processes to learn lessons and implement improvements;
- strengthened and safe recruitment and selection of staff; and
- keeping all citizens of Leeds informed about safeguarding issues and seeking feedback about issues and proposals for new developments.

To support the council's priority to improve child protection services, £500,000 has been allocated in 2009/10 to specifically support safeguarding services to help protect children and young people who may be at risk. This funding will be used for monitoring standards within the service, to improve the quality of the choice of care placements and to invest in additional staff training.

A further £1 million of grant investment will be used to expand the number, quality and choice of short-breaks available for children with disabilities, in parenting and family support services and for improving reviews of care plans. This investment will help the Council ensure it is well equipped to help protect children across the city – both those within council care and those being cared for by their own family.

We are also working to promote improved joint working between the Council's Adult and Children's Services (e.g. for children and young people who are living in families where there is domestic abuse and / or where parents have substance misuse or mental health problems).



### Adults

We have reacted positively to the findings of the CSCI inspection by producing an action plan which has already been agreed by CSCI and our most senior councillors. The plan sets out how we will strengthen arrangements to ensure that vulnerable adults are effectively safeguarded across Leeds and we are making good progress.

The Leeds Adult Safeguarding Partnership Board has been reconstituted and will oversee and develop practice in a number of important areas including policies, procedures, training, performance management, and ensuring the involvement of the wider stakeholder community. A new Head of

Safeguarding has been appointed on behalf of the partnership and this person will take the lead in ensuring that these developments are driven forward. The partnership has also recruited specialist posts to independently chair adult safeguarding case conferences and in doing so provide assurance to the wider partnership that vulnerable adults are being effectively safeguarded.

We have reconstituted and strengthened the structure and membership of the Adult Safeguarding Partnership Board to ensure that robust arrangements are in place and that there is appropriate accountability and representation of key organisations and stakeholders from across the city. The Council's Corporate Governance and Audit Committee is looking directly at these multi-agency governance arrangements to ensure they meet best practice national standards and to help ensure the protection of vulnerable adults. We are also reporting regularly and frequently on the progress of the action plan to the Executive lead member and to councillors on the Adult Social Care Scrutiny Board.

Within the Adult Social Care Directorate, senior social work practitioners have been appointed to lead, coach, support and monitor safeguarding work in front-line adult social care teams. We have also taken steps to ensure that all staff who are involved in adult safeguarding investigations have the appropriate knowledge and skills to undertake the task appropriately. We have, in addition, ensured that all senior managers, front line managers and workers have comprehensive written guidance outlining the requirements for safeguarding adults.

We have agreed a serious case review process which is currently being piloted. This process is important for dealing with systemic failures to safeguarding adults and assists all organisations to understand why failings in practice have occurred, to provide learning from that and to put in place actions to prevent the same or similar occurring in the future.

In the next year we will improve consistent interagency working to deliver effective and efficient services to vulnerable adults in ways which always promote choice and ensure dignity and respect. We will ensure that there are sufficient staff within the Council and our partners with the appropriate skills and knowledge to adequately safeguard vulnerable adults and co-ordinate the delivery of appropriate personalised services.



### **Additional Information**

For more information on safeguarding visit [Health and social care](#)

For more information on the Leeds Safeguarding Children Board visit [Leeds Safeguarding Children Board](#)

For more information on the Leeds Safeguarding Adults Partnership visit [Leeds Adult Protection Unit](#)



# Waste Strategy for Leeds



## Background

The European Union and the UK government have instructed councils to reduce the amount of waste that they bury in landfill sites. In Leeds, as in most other local authorities, the majority of our household waste is buried in the ground in landfill sites. Landfill impacts on the local environment, contributes to global warming and, due to legislation from Europe and the UK government, is becoming more and more expensive.

As a result of this legislation local authorities are now developing strategies and plans to significantly reduce the amount of waste sent to landfill.

The Council has a Waste Solution Programme which involves a range of major projects designed to ensure that national and local recycling and landfill diversion targets are met by the Council and that a major step-change is achieved in reducing the environmental impact of managing Leeds' waste.

## What are the risks?

The Waste Strategy is a significant programme for the Council in terms of its potential impact on a variety of stakeholders. There could be considerable disruption to the residents of Leeds and further damage to the environment if this is not properly managed. If the Council does not implement an effective Waste Management Strategy, it could also result in millions of pounds of fines. It would mean that Leeds City Council fails to meet statutory waste and recycling targets and also fail to achieve carbon reduction targets.

## How is the Council managing the risks?

The Council has developed the "Leeds' Waste Communications Strategy" which sets out how we will communicate and engage with its stakeholders to support the waste strategy. The Council will help people manage their waste through publicity, support for waste prevention, recycling and composting initiatives, education for children and young people, and through providing feedback on our progress and consultation results.

Garden waste collection commenced in October 2007 and by the end of 2008 this service was available to approximately 120,000 households, a highly successful scheme with participation rates above those expected. There are also proposals to conduct a food waste collection trial during 2009/2010.

By 2020 Leeds must recycle 50% of its household waste. To do this the Council must consider improving its current household recycling services. We are looking at options for changing the frequency of collections and the range of things we collect from households to keep the amount of waste that we need to treat or bury to a minimum.

The Council has secured funding to support the delivery of a Residual Waste Treatment facility following approval by DEFRA and HM Treasury of the Council's Outline Business Case. The Council also has strong governance arrangements in place with a well established Waste Solution Programme (WSP) Board. There are clear lines of accountability and strong communication between the Programme Board and projects involved in the waste strategy and there has been use of both internal and external expertise throughout the programme. The Programme Board has a risk register which is reviewed and updated in line with Leeds Risk Management Framework and reported to the Sponsoring Board.



## Additional Information

To find out more information about the Council Waste Strategy visit [Leeds.gov.uk/Waste](http://Leeds.gov.uk/Waste)

# Transport Strategy



## Background

A clean, green, efficient and safe transport system which is accessible, inclusive and sustainable, is essential to Leeds being a place that people want to live and work in, and a good place to do business. Leeds has good transport links, however, we need to improve the quality, accessibility and use of public transport, and businesses need better international links and connections for themselves and local people. Residents have told us that they want roads and pavements that are in good condition.

The Council is currently working with Metro with support from Yorkshire Forward and the Department for Transport (DfT) to develop a future transport strategy for Leeds. This includes the development of the New Generation Transport system and improvements to rail to deliver a reliable alternative to car travel as well as reducing congestion and pollution. Improved road safety for all users, and especially motor cyclists, pedal cyclists and pedestrians, is a priority, as is the maintenance of our roads and improvement of our streets.

Our Transport Strategy is informed by the second West Yorkshire Local Transport Plan (LTP) (a partnership between the West Yorkshire Passenger Transport Authority/Executive (Metro)) and the five West Yorkshire local authorities, including Leeds City Council. The LTP sets out a programme for a wide range of improvements to local transport over the period 2006 to 2011 to develop and maintain an integrated transport system that supports economic growth in a safe and sustainable way and enhances overall quality of life for the people of West Yorkshire.

## What are the risks?

The Transport Strategy is a multi-million pound, complex programme involving the Council working with different organisations from the public and private sector. Failure to invest and work in partnership to boost the capacity of the transport system, particularly for buses and trains, means that we will not be able to meet the rising demand on our transport system within the city and surrounding area. Greater strain will be placed on the transport system as more people live in and travel to work in Leeds, and there will be increased congestion and pollution. We would fail to contribute to a variety of the Government's national priorities, ranging from accessibility, bus services and road safety to road maintenance, congestion and CO<sub>2</sub> emissions. It will also result in delays in achieving the Council's vision of Leeds as an internationally competitive European City where everyone can travel safely.

## How is the Council managing the risks?

To help ensure that our partnerships work effectively, we play an active role in the West Yorkshire LTP Partnership, working with Metro and the other four West Yorkshire local authorities. We have signed up to the LTP Performance Monitoring Framework and regularly report progress including expenditure to the LTP Steering Group. The Highways Agency is also involved in discussions on the LTP and on longer-term schemes. The LTP Partnership has identified its most significant risks and has a strategy to manage and mitigate them. We have also consulted with organisations representing road users, including cyclists, to ensure that their views and needs are factored into the future of transport in and around Leeds.

There is ongoing dialogue with the DfT about the 25-year Leeds City Transport Vision and funding for the New Generation Transport (NGT) Scheme which could deliver a brand-new, high-quality transport system to transport people into Leeds city centre. In January 2009 £98.8 million was approved for the next phase of the NGT. Along with Metro, we have recently asked for people's views on the NGT and another important transport project, Transport for Leeds. This is a study into how investment in better transport systems can tackle congestion in Leeds. It could result in a bid for

funding to the DfT, which if successful, would mean significant investment in new transport for Leeds including enhancements such as tram trains.

The LTP Partnership is making good progress in reducing congestion and has recently received an extra £1.2 million from DfT for exceeding targets, with the possibility of a further £1 million over the next two years if the Partnership continues to stay ahead of targets.

In February 2009 we opened the new East Leeds Link Road which provides important access for residents and businesses in the east of the city and unlocks one of the most significant areas of investment opportunity in the north of England. We adopted an environmentally friendly design incorporating an innovative drainage system, road construction that recycles and reuses materials, and extensive landscaping. Approval and funding has been granted for redevelopment of Pudsey Bus station and a contractor for the A65 Quality Bus Initiative has been selected. We are using long-life materials to maintain our roads and we are on target to complete this maintenance programme in March 2009. Finance has been secured for a refurbishment programme to facilitate more efficient traffic signals and we have developed new bus priority software in partnership with Metro so public transport in Leeds can be prioritised. We are already working on measures to reduce dependency on private vehicles and encouraging cycling and walking.



In March 2009 Council chiefs gave the go-ahead to the next stage of a major multi-million pound city centre paving refurbishment programme and a new on-street walking map and signage system to help visitors, residents and workers alike to find their way around the city centre on foot. The Council's Executive Board of elected members has agreed that we will provide £1.2million, which will be match-funded by Yorkshire Forward, giving a sum of £2.4million.

## **Additional Information**

For more information on the Transport Strategy for Leeds visit [Transport and streets](#)

For more information on the Local Transport Plan visit [West Yorkshire Metro | Home](#)



# Emergency Planning & Business Continuity

## Background



All emergencies are different in terms of the risks they present to members of the public and the type of response required. It is a legislative requirement under the Civil Contingencies Act 2004 to ensure that there are adequate arrangements in place to manage these emergencies. In addition these arrangements and plans should be tested and validated.

The Government aims to ensure that all Category 1 responder organisations (the emergency services, local authorities, the Environment Agency, NHS Trusts and the Health Protection Agency) have effective and well practiced emergency plans in place to prepare for, respond to and recover from emergencies.

To assist and encourage members of the public and other organisations in preparing for emergencies, central government has published a National Risk Register detailing a range of risks and threats which may affect the UK. Risks are also detailed locally through the West Yorkshire Community Risk Register, identifying the likelihood and impact of all key risks to the community. This forms the basis for the prioritisation of all work undertaken by Category 1 and 2 responders, including Leeds City Council. (Category 2 responders include utility companies, the rail industry, airport operators and the Health and Safety Executive). It allows the West Yorkshire Resilience Forum to focus multi-agency emergency planning work on a rational basis of priority and need.



## Why is this work on broader 'community risk' relevant to the Council?

Being able to respond effectively in the event of an emergency is a statutory obligation for local authorities. The Council must be able to demonstrate planned, co-ordinated, practiced and monitored responses to emergency situations. If the Council is unprepared in the event of an emergency incident it could result in the Council not being able to respond effectively, causing potential loss of life or prolonging disruption to the community. Other consequences may include additional cost impact upon the Council and its partners, an inability to deliver key services and a range of other issues including impact upon reputation.

Below are a few examples of the very high risks identified in both the National Risk Register and West Yorkshire Community Risk Register that may affect Leeds. These are managed based upon the principles of integrated emergency management: to anticipate, assess, prevent, prepare, respond and recover from emergencies. The Council's Emergencies Handbook, Major Emergency Plan and supporting plans contribute towards managing these risks.

## What are the risks?

### Case Study - Flooding

The Leeds district is at risk of flooding from a complex set of multiple sources including: large 'main rivers' (Rivers Aire, Wharfe and Calder); 'critical ordinary watercourses' (the Wyke, Wortley, Farnley Wood, Meanwood, Cock, Oulton, and Collingham Becks); ordinary watercourses; public sewers; private sewers; highway gullies and culverts; surface water run-off from fields and open spaces as well as reservoirs and lakes with embankments.

For this reason the Council has developed a co-ordinated approach to managing flood risk by bringing together services with a role in flood risk management and by working closely with partner agencies so that there is a consistent approach to the treatment of flood risk.

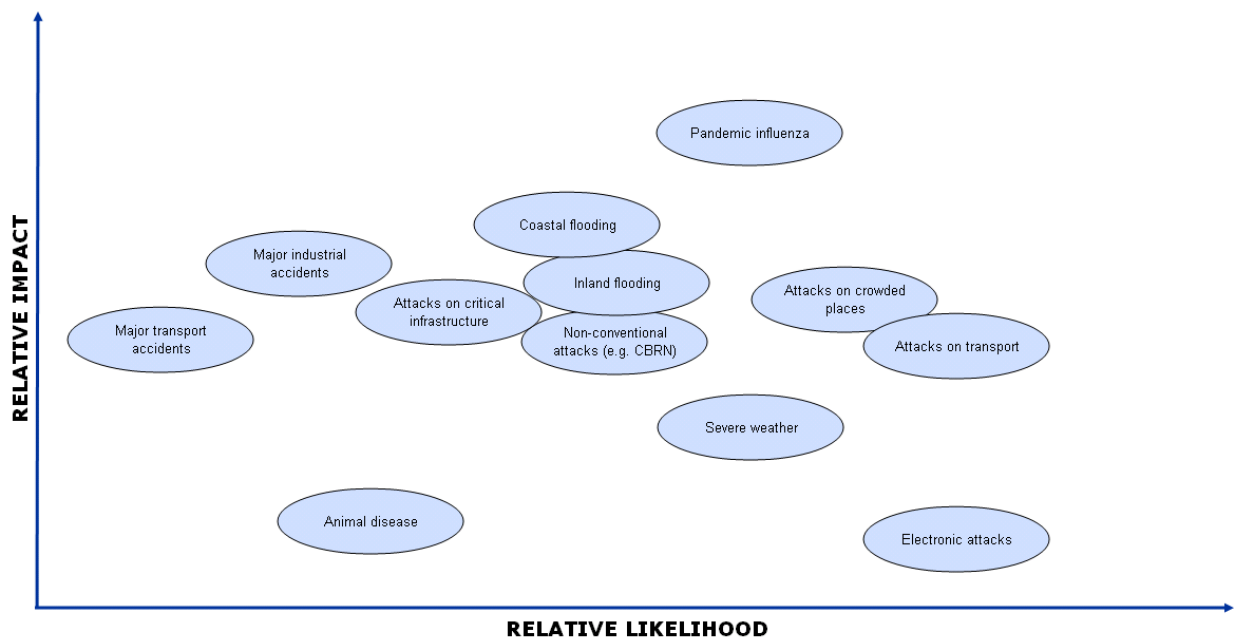
There is a generic Flooding CONOPS (Concept of Operations) able to be used for all types of flooding, but other plans have been developed with partners to address specific, known flood risks. The Council is working increasingly with community groups to develop local flooding plans which can be implemented quickly by local residents to address flooding when it happens rather than after emergency responders arrive. Leeds is leading on the piloting of such plans that have already proved very successful in recent severe weather incidents.

Case Study - Pandemic Influenza

Pandemic influenza is classified as the highest risk on the National Risk Register. Pandemics have significant global human health consequences and are also likely to cause significant wider social and economic damage and disruption. Experts agree that there is a high probability of an influenza pandemic occurring, but it is impossible to forecast its exact timing or the precise nature of its impact. As with other high risks, arrangements exist within the Council and with partner agencies to manage the outbreak of Pandemic influenza in the UK.

**National Risks**

The following risk map is taken from the Cabinet Office’s National Risk Register illustrating the high consequence risks identified at a national level.



Source: National Risk Register, p.5 (Cabinet Office, 2008)

**How is the Council managing the full range of risks: hazards and threats?**

There are a number of measures in place to ensure that the Council is effectively prepared for emergencies. Internally there is a Corporate Emergency Plan supported by plans for specific incidents (e.g. severe weather) and directorate-based Emergency Management Groups, set up to prepare the Council for its broad range of emergency responsibilities in support of the Leeds Resilience Team. This includes the maintenance of a dedicated Emergency Control Centre facility.

Local governance and priorities are determined through the Leeds Resilience Group and across West Yorkshire a number of structures that exist to manage risk, overarched by the West Yorkshire Resilience Forum.

## **Business Continuity**

Business continuity management (BCM) is a management process which enables an organisation to identify and evaluate the potential impact of disruptions to its services from various sources and from this basis to develop appropriate strategies for responding to such incidents. These contingency arrangements strengthen the organisation and allow (as far as possible) services to continue if there is an incident. The Civil Contingencies Act 2004 states that local authorities have a duty to promote business continuity which means that the Council has to have plans and be ready to provide services as far as possible in an emergency. There is also a British Standard (BS 25999) which has been developed to provide organisations with guidance on best practice in BCM to minimise disruptions to their services.

### **What are the risks?**

Local, national and international events in recent times have all emphasised the importance for communities and businesses to be prepared for a wide range of incidents which have the potential to impact day-to-day activities. If the Council is unprepared in the event of an incident it may mean that the Council is unable to deliver critical services such as social care, waste and education. This could potentially increase the impact of the incident causing significantly more damage and disruption to service delivery and the community as a whole.

By not having BCM arrangements in place it could take longer to recover from an incident incurring higher costs and significant damage to the reputation of Leeds as a place to live and work.

### **How is the Council managing the risks?**

In 2007 the Council, in partnership with West Yorkshire Police and West Yorkshire Fire and Rescue Service, produced the '[Planning for Emergencies](#)' booklet which aims to provide information and advice to assist businesses and residents in Leeds city centre on how to protect their premises, staff, visitors and ultimately themselves before, during and after a major incident.

The Council's Peace and Emergency Planning Unit (PEPU) is also able to work with employers in Leeds on business continuity planning issues through the Leeds Business Continuity Planning Network. With over 120 members from all key sectors in Leeds the purpose of the network is to share best practice and business continuity information, to assist in the development of multi-agency plans such as the Leeds City Centre Evacuation Plan, the Leeds City Council Strategic Recovery Plan and Leeds Flooding Plans.

As part of the 2007/2008 external Audit and Inspection Plan, KPMG carried out a review of the Council's internal BCM arrangements. KPMG found that the Council has made good progress in the implementation of BCM and that there are formal policies and procedures within the Council that demonstrate good practice. There are also arrangements in place to test and maintain the Council's BCM arrangements to ensure effective implementation in the event of an emergency.

The Council refers to the first British standard for business continuity management (BS 25999) as guidance to best practice in BCM arrangements. BS 25999 comprises of a code of practice complete with recommendations and also a framework and requirements for managing business continuity and how to demonstrate best practice.

### **Additional Information**

For more information on emergency management please go to: [Leeds.gov.uk/emergencyplanning](http://Leeds.gov.uk/emergencyplanning)

For information about the National Risk register visit [CabinetOffice.gov.uk/NationalRiskRegister](http://CabinetOffice.gov.uk/NationalRiskRegister)

For information about the Community Risk Register visit [West Yorkshire Resilience Forum](http://West Yorkshire Resilience Forum)

For more information about Business Continuity visit [Leeds.gov.uk/businesscontinuity](http://Leeds.gov.uk/businesscontinuity)

## EASEL Regeneration Initiative

### Background

Despite Leeds' economic success, one in five people in the city still lives in neighbourhoods that are among England's



most deprived 10%. Through the East and South East Leeds (EASEL) regeneration initiative, the Council wants to bring the benefits of a prosperous, vibrant and attractive city to all of the people of Leeds. EASEL is about partnership: with the community, with local service providers, with businesses and voluntary and faith groups.

Leeds is one of the first cities to take a 'whole-city' approach to regeneration rather than purely concentrating on the poorest areas to achieve Government targets.

### What are the risks?

EASEL is a multi-million pound regeneration project for the Council which, if delays in implementing the investment into the area occur, may mean that the residents of Leeds will not be able to benefit from improved local services and access to health, sport, green spaces, leisure facilities and a clean environment. This will also result in delays in achieving the Council's vision of Leeds as an internationally competitive European City where everyone can enjoy a high quality of life.

EASEL is underpinned in its first phase by a programme of building affordable housing for sale and the downturn in the market has had a serious impact on this since mortgage availability has significantly reduced. The Council and its partners are determined to maintain activity on site to sustain confidence in the regeneration vision for the area. The building of new homes and the continued employment, training and supply chain opportunities are essential to the wider regeneration strategy and are a vital sign for the local community and the media of the viability of the EASEL vision to deliver a better future for the area and its people.

### How is the Council managing the risks?

In the current difficult economic conditions the council still sees the EASEL project as a priority. In order to ensure that work continues, it is looking at ways to ensure investment in new housing and other areas is still possible. The Council is putting in place a two-stage plan to manage the risk of the project losing momentum and the level of investment slowing down. Firstly it will deploy Council resources to keep work going and build new homes. At the same time officers are working with the new Homes and Communities Agency to secure intervention funding to come on stream to support continued housebuilding until market confidence and the availability of lending is restored.

To ensure that local people have a real opportunity to assist in the future investment in their area, detailed community consultation will take place to develop the five neighbourhood masterplans. Residents, community groups, schools, businesses, local politicians and faith and voluntary groups are being asked to assist in shaping the plans to enhance the many different communities across the EASEL area.

EASEL is not a standalone initiative, it is linked to other important development opportunities and regeneration programmes in Leeds including the Intensive Neighbourhood Management (INM) Programme which was established through government incentive. The INM programme will help focus on improving public services to meet the needs of residents in Leeds. These needs have been captured through consultations held in 2008 to gather residents' views about what changes are

needed most and where. The Council has also invested in measures to tackle ‘crime and grime’ to make the streets safer.

To ensure the successful delivery of the programme there is an EASEL steering group to check and monitor the operational issues within the programme. Alongside the steering group the Programme Board manages inputs to the programme from both the Council and its partners and there are project boards in place for all critical stages within the programme.

The Council will also continue to ensure that there are adequate resources allocated to provide support to the programme. Working through programmes such as the Local Economic Growth Initiative and Building Schools for the Future, significant funding is being provided to contribute to the delivery of the EASEL project to create new affordable homes, help improve schools and bring new training, job and business opportunities.

### Additional Information

For more information on the EASEL regeneration initiative visit [Leeds.gov.uk/EASEL](https://Leeds.gov.uk/EASEL)

