

To: Paul Osborn (Chairman) Chris Kennedy  
David Andrews (Vice Chairman) Heather Johnson  
Susan Barker Graham McAndrew  
Ross Houston Mary Sartin

A meeting of the **EXECUTIVE COMMITTEE** (Quorum – 4) will be held at Myddelton House on:

**THURSDAY, 20 OCTOBER 2022 AT 10.30**

at which the following business will be transacted:

## **AGENDA**

### **Part I**

1 To receive apologies for absence

2 **DECLARATION OF INTERESTS**

Members are asked to consider whether or not they have disclosable pecuniary, other pecuniary or non-pecuniary interests in any item on this Agenda. Other pecuniary and non-pecuniary interests are a matter of judgement for each Member. (Declarations may also be made during the meeting if necessary.)

3 **MINUTES OF LAST MEETING**

To approve the Minutes of the meeting held on 22 September 2022 (copy herewith)

4 **PUBLIC SPEAKING**

To receive any representations from members of the public or representative of an organisation on an issue which is on the agenda of the meeting. Subject to the Chairman's discretion a total of 20 minutes will be allowed for public speaking and the presentation of petitions at each meeting.

5 **Q2 REVENUE BUDGET MONITORING 2022/23 AND BUDGET CHALLENGES** Paper E/781/22

Presented by Keith Kellard, Head of Finance

6 **FEES & CHARGES POLICY** Paper E/779/22

Presented by Jon Carney, Corporate Director

**7 HUMAN RESOURCES POLICY UPDATES Paper E/780/22**

**Presented by Victoria Yates, Head of Human Resources**

**8 RISK REGISTER 2022/23 Paper E/778/22**

**Presented by Dan Buck, Corporate Director**

**9 Such other business as in the opinion of the Chairman of the meeting is of sufficient urgency by reason of special circumstances to warrant consideration.**

**10 Consider passing a resolution based on the principles of Section 100A(4) of the Local Government Act 1972, excluding the public and press from the meeting for the items of business listed on Part II of the Agenda, on the grounds that they involve the likely disclosure of exempt information as defined in those sections of Part I of Schedule 12A of the Act specified beneath each item. (There are currently no items listed for consideration in Part II.)**

**12 October 2022**

**Shaun Dawson  
Chief Executive**

## LEE VALLEY REGIONAL PARK AUTHORITY

### EXECUTIVE COMMITTEE 22 SEPTEMBER 2022

Members Present: Paul Osborn (Chairman) Chris Kennedy  
David Andrews (Vice Chairman) Graham McAndrew  
Ross Houston Mary Sartin

Apologies Received From: Susan Barker, Heather Johnson

In Attendance: John Bevan, David Gardner

Officers Present: Shaun Dawson - Chief Executive  
Dan Buck - Corporate Director  
Jon Carney - Corporate Director  
Keith Kellard - Head of Finance  
Marigold Wilberforce - Head of Property  
Vince Donaldson - Senior Contracts & Quality Manager  
Michael Sterry - Senior Accountant  
Sandra Bertschin - Committee & Members' Services Manager

Also present: James Newman – S151 Officer (London Borough of Enfield)

#### Part I

#### 175 DECLARATIONS OF INTEREST

There were no declarations of interest.

#### 176 MINUTES OF LAST MEETING

**THAT the minutes of the meeting held on 21 July 2022 be approved and signed.**

#### 177 PUBLIC SPEAKING

No requests from the public to speak or present petitions had been received for this meeting.

#### 178 Q1 REVENUE BUDGET MONITORING 2022/23

Paper E/774/22

The report was introduced by the Head of Finance, including:

- the biggest area of concern was energy costs following conclusion of the current fixed price agreement;
- the 2022/23 Q1 forecast had been based on earlier assumptions but following announcement of government direct support a lot will depend on energy consumption over the winter months;
- the current projected year-end deficit can be effectively managed from reserves but officers would be looking at ways to reduce the impact over the next six months;
- work had already started on the 2023/24 budget with a focus on the Authority's operations to rebase the budget through efficiency savings where possible.

It was advised that meetings had already been held with Greenwich Leisure Limited (GLL) to review energy usage, costs and impact on the management fee. It was hoped to develop options to reduce the cost of the Leisure Services Contract for next year, and also this year if possible, without undermining the integrity of what the venues deliver.

A Member commented that his local authority was also in discussion with GLL regarding energy consumption, fees and charges and increasing renewable energy such as solar panels. In response it was advised that the Authority was considering all options to ensure utility consumption was as smart as possible in the delivery of services.

In response to Members it was advised:

- It was not economically viable to move away from gas usage at some of the older venues;
- investigations were underway regarding solar panel installation at venues but this was dependant on building structures being able to take the weight of the required equipment. Lee Valley White Water Centre may provide an opportunity for the installation of solar panels;
- opportunities for solar farms on some of our land holdings had been explored but the cost of connection to the grid nullified any financial benefit; and
- the Authority's legal services were provided through internal resources and external expertise as appropriate.

**(1) the report was noted.**

179 Q1 CAPITAL PROGRAMME BUDGET MONITORING 2022/23

Paper E/775/22

The report was introduced by the Head of Finance.

A Member commended progression of the Ice Centre redevelopment project given rising building costs and borrowing rates.

**(1) the report was noted.**

182 BUSINESS CONTINUITY POLICY

Paper E/773/22

The report was introduced by the Corporate Director.

In response to a Member it was advised that the Authority's meadow cutting regime and fire breaks mitigated risks to venues from grassland fires as had been experienced over the past summer.

**(1) recommendation of the draft Business Continuity Policy and associated procedures to the Authority for adoption was approved.**

183 EXEMPT ITEMS

**THAT based on the principles of Section 100A (4) of the Local Government Act 1972, the public and press be excluded from the meeting for the items of business below on the grounds that they involve the likely disclosure of exempt**

Information again on the principles as defined in those sections of Part I of Schedule 12A of the Act indicated:

<b>Agenda Item No</b>	<b>Subject</b>	<b>Exempt Information Section Number</b>
10	Health and Safety Contract	3
11	Proposed New Lease of Existing Telecoms Installation off Roydon Road, Stanstead Abbots and Grant of Wayleave	3

184 HEALTH AND SAFETY CONTRACT Paper E/777/22  
The report was introduced by the Corporate Director.

**(1) the signing and sealing of the new Health and Safety contract in accordance with Financial Regulations and Standing Orders was approved.**

185 PROPOSED NEW LEASE OF EXISITNG TELECOMS Paper E/776/22  
INSTALLATION OFF ROYDON ROAD, STANSTEAD ABBOTTS  
AND GRANT OF WAYLEAVE

The report was introduced by the Head of Property.

**(1) the inclusion and effect of the draft Grant of Wayleaves clause set out in paragraph 4 of Paper E/776/22 which will require the Authority to enter into future wayleaves at the request of the tenant was noted; and**

**(2) the grant of a wayleave to Virgin Media to lay out a cable from Roydon Road across the Authority's land to the telecommunications installation, which is the subject of the lease of renewal to On Tower UK Ltd, was approved.**

\_\_\_\_\_  
Chairman

\_\_\_\_\_  
Date

The meeting started at 10.32am and ended at 11.22am

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**Q2 REVENUE BUDGET MONITORING 2022/23  
AND BUDGET CHALLENGES**

Presented by the Chief Executive and Head of Finance

**EXECUTIVE SUMMARY**

This report summarises monitoring of revenue expenditure to September 2022. It compares income and expenditure to the approved budget, and includes a projection indicating the likely outturn position against the annual budget for the year ended 31 March 2023.

The report focuses on the challenges the Authority is facing with regards to minimising the deficit position in 2022/23 and outlines the immediate measures being actioned. 2023/24 presents an even more significant budget challenge for the Authority and budget planning is well underway. The report sets out the areas that officers are considering for major savings and additional income generation.

**RECOMMENDATION**

Members Note: (1) the report

**BACKGROUND**

- 1 The Executive Committee recommended a budget for 2022/23 at its meeting in January 2022 (Paper E/767/22). Members approved this at the Authority meeting on 20 January 2022 (Paper A/4312/22). This report compares income and expenditure to 31 March 2023 with the budget.
- 2 The summary financial position of each Authority service or facility is shown in Appendix A to this report.
- 3 The year-end position shows a projected net over-spend of £681,000 against the net revenue budget deficit of £137,000. The net deficit for the year is forecast as £818,000.
- 4 An outturn of this level, would result in a reduction to our general fund reserve to £3.07m, which would be just within the range agreed by Members of between £3m-£4m

## **GENERAL ECONOMIC FACTORS**

### **5 Inflation**

August's inflation for the Retail Price Index (RPI) stood at 12.3% and Consumer Price Index (CPI) at 9.9%, a slight fall from the previous month. Inflation was expected to rise to around 11% in October, with the Bank of England forecasting a cautious return towards the target rate of 2% in the medium term (Bank of England Monetary Policy Committee (MPC) Report September 2022). The Bank of England increased the base rate to 2.25% on 22 September as it continues to try to control inflation.

The September inflation figures will be released on 19 October 2022, with the next Bank of England Monetary Policy Committee scheduled for 3 November 2022. Markets expect a further 0.5% - 0.75% increase to the base rate at this time.

### **6 Energy Costs**

In line with our signed contracts for accessing the 2020-2024 Laser framework, our initial contract period was secured with fixed prices. We agreed to this fixed cost for 24 months, so the market price movements of wholesale electricity and gas prices will not affect us until October 2022, when we will join the flexible basket arrangement in line with our agreement.

Whilst this was considered as part of the budget process, along with an expectation of around 50% increase for gas and 20% for electricity at the time, the wholesale price has risen significantly, and we are now seeing increases of around 150% for electricity and 500% for gas.

As part of the shared risk position for utility pricing at the Leisure Services Contract (LSC) venues (for the first 2 years only), with Greenwich Leisure Ltd (GLL) taking the risk for utility consumption for the entirety of the contract, we expect to see a substantial increase to the Management Fee for the first two years. After this, we are required to rebase the utility position for year 3 onwards, when GLL will take on both the cost and consumption risk, but the current Management Fee position for years 3-10 will likely be effected.

However, the Gas at Dobbs Weir Caravan Park is supplied by Avanti, and we have a fixed price contract with them until the end of March 2023, so we will not see these prices increase until 2023/24 financial year.

### **7 Pay Award**

In June 2022 the trade unions tabled their pay claim that included a substantial increase with a minimum of £2,000 or the current rate of RPI - whichever is greater - on all spinal column points. The employers have offered a flat rate pay rise of £1,925 to all staff, and unions are in the process of review. The 2022/23 budget includes provision for a 2% pay award, but if the current offer is agreed, then this would average around a 5% increase and would increase costs by £168,000.

To date, Unison members have agreed to accept this offer, with GMB and Unite unions expected to announce their decisions later in October.



## **OPERATIONS OVERVIEW**

- 8 Outturn for operational and support services have improved on those reported in Q1, in main due to the expectation of an improved position with regards to caravan sales. A number of further sales have either commenced, or have been identified, and the forecast now is that they will achieve the income contingency built into the budget.
- 9 Appendix A to this report includes a summary of outturn forecast, where we have identified the impact of increased income and costs, utility and pay rises, on the different service areas.
- 10 Without any further mitigating action, the outturn is forecast to be **around £820,000 deficit**, although it can be identified that without the additional costs attributable to areas outside of the Authority's direct control, the net position would be in surplus.

## **BUDGET CHALLENGES**

- 11 A significant challenge affecting the Authority this financial year will be trying to reduce the deficit position to one of a more manageable position and taking mitigating actions where possible.

Officers have already commenced the 2023/24 Budget Planning process and have identified a significant impact, and shortfall in the Authority's financial resources over the next 18 – 24 months, in the light of the substantial increases to utility prices across the whole estate. We are currently anticipating around c£2m increased annual costs for utilities, with compounding increases in costs due to inflation and pay.

- 12 Whilst a single 'in year' deficit could be manageable within the General Fund reserve, and this is specifically what it is designed for, it is not sustainable in the long term and should be addressed as a matter of urgency.
- 13 Key to this would be identifying areas of potential savings or efficiencies, or where areas of expenditure can be profiled to future years, without having detrimental impact service provision.
- 14 Utility prices are expected to increase significantly over the next year. The business "cap" is currently only in force for 6 months, and we may see prices increase again from April 2023.

The Authority is not a big user of gas, with around half the budgeted costs at Dobbs Weir Caravan Park of which the majority is recharged to static caravan owners. However the 500% increase in price at all other venues from the favourable rates secured up to the end of September have resulted in a forecasted additional net gas spend of £122,000. Although the price increase for electricity is relatively less, the Authority consumes more of it. Investment at campsites has also increased consumption through more units and facilities, and whilst some of this increase will be offset by additional income, it does contribute to a forecasted additional electricity spend of £243,000 per annum.

A breakdown of gas and electricity forecast against budget is set out in Appendix B to this report.

- 15 A further issue remains within the utility budget with regards to the Leisure Services Contract.

Whilst the agreed position on the utility costs is that GLL will bear consumption risk, and the Authority price, these are based on estimated usage which may not represent the final position. Any increase in usage over and above the estimate (on which the Management Fee has been based) would result in a larger adjustment in favour of GLL, but a consumption reduction plan has been requested as to what GLL are doing to mitigate consumption across all venues.

- 16 Based on current assumption around pricing, and consumption at a level based on prior and current year Authority usage, and base consumption levels in the LSC, the current forecast is that for 2022/23 and 2023/24, expenditure on gas and electricity will be over budget by the following:

	2022/23 £000s	2023/24 £000s
Authority	365	503
LSC	700	1,360

It should be noted that a utility contingency was built into the current year budget of £305,000 and Medium Term Financial Plan (MTFP) assumed a level of £200,000 for 2023/24, which will reduce the deficit shown above.

- 17 The utility forecasts are all based at the high end of Laser's current guide price range with gas prices between 9p-11p kWh and electricity 32p-35p kWh. We expect the updated prices from Laser at some point during October.

#### 18 Ice Centre opening

A further issue is around the handover of the Ice Centre, and the earliest operational date. As handover is likely to be late December / early January, this may have an impact on the 2022/23 Management Fee. The position won't be known until the financial year end, but officers are discussing with GLL to fully assess any implications for both this year, and 2023/24.

### MITIGATION ACTIONS

- 19 The primary action in the short term is to review expenditure and only progress with priority items. Whilst we are already half way through the financial year, it may be difficult to find significant savings over the autumn and winter period.

However, we will review all programmed costs to look towards reducing, or freezing areas of discretionary spend, where this can be done.

- 20 Review of utility usage at all sites, and looking at better management options, either through changes in usage (i.e. reduction to thermostat by 1-2C), management of site opening hours, or different forms of heating (i.e. electric rather than gas).

#### 21 Fees and Charges

The majority of the Authority's income is derived from fixed contract charges – e.g. marina or caravan annual licences, and the ability to modify in-year is not possible. The variable income is limited in part to campsite touring income,

which will be at much lower levels during the Autumn and Winter period, and golf.

Officers have reviewed the Fees and Charges Policy ahead of the fee setting round, and this is subject to Member approval at Authority.

22 Whilst it is unlikely to provide much additional income in the current year, officers continue to review all sites for further improvements above those previously approved. Where identified and appropriate, these will be included in the capital programme and reported to Members.

23 In terms of LSC, GLL are reviewing their cost base to try to identify savings across the venues, including the Ice Centre when it becomes operational

#### 24 Budget implication for 2023/24 and beyond

The current financial forecast for the next two financial years, based on expected increases to costs, and factoring in the full long term borrowing option of around £28m for the Ice Centre is set out below.

	<b>2023/24</b>	<b>2024/25</b>
	<b>£000s</b>	<b>£000s</b>
Base Budget, as per MTFP	70	(814)
Inflationary Increases	(75)	(115)
Additional borrowing costs	278	272
Pay Increases	287	358
Net Utility increase	1,663	1,476
<b>Net Budget deficit</b>	<b>2,223</b>	<b>1,177</b>

The MTFP assumes the Levy remains at its current 2022/23 level of £9.768m without any increase to future years.

25 Officers are continuing to review what can be done over the next years to reduce the deficit, which include:

- reduction to discretionary spend;
- continuation of investment across all venues, with a view to efficiencies, savings, and additional income generating projects;
- review of fees and charges, in both price increases, and pricing to capacity programming;
- varying the LSC with GLL, for efficiencies at sports venues;
- deferring expenditure in areas where this can be done, without having a direct effect on operation e.g. asset maintenance ; and
- managing asset maintenance to ensure improved lifetime usage of plant and equipment.

26 Officers will report the update on 2022/23 savings exercise and 2023/24 planning to the November Executive Committee.

#### FURTHER ISSUES

##### 27 VAT Claim on Sporting Income

We await further information with regards to the “distortions of competition” issue in relation to the VAT claim on sporting income. Whilst, the first argument

over non-business treatment was conceded by HMRC, it requires a further decision on the competition issue before we would expect any rebate to be received.

We are awaiting further details from KPMG and Chelmsford City Council on how this will be taken forward.

**28 Litigation with Lee Valley Leisure Trust Ltd (the Trust)**

The Authority is in dispute with the Trust regarding the 2019/20 Management Fee payment and end of contract liabilities following the Trust commencing litigation in January 2020. The dispute is subject of court action which is currently scheduled to be heard by the Court in November 2022, and would result in a potential cost to the Authority if it were unsuccessful in defending the claim brought against it by the Trust.

Any costs payable would need to be charged against the General Fund and could result in a further significant reduction.

**ENVIRONMENTAL IMPLICATIONS**

29 There are no environmental implications arising directly from the recommendations in this report.

**FINANCIAL IMPLICATIONS**

30 These are dealt with in the body of the report. The forecast outturn will leave the general fund balance at £3.0 million at the end of March 2023. The approved level of £3-4million was agreed as part of the 2022/23 budget setting process.

**HUMAN RESOURCE IMPLICATIONS**

31 There are no human resource implications arising directly from the recommendations in this report.

**LEGAL IMPLICATIONS**

32 There are no legal implications arising directly from the recommendations in this report.

**RISK MANAGEMENT IMPLICATIONS**

33 There are no risk management implications arising directly from the recommendations in this report.

**EQUALITY IMPLICATIONS**

34 There are no equality implications arising directly from the recommendations in this report.

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Author: Keith Kellard, 01992 709 864, [kkellard@leevalleypark.org.uk](mailto:kkellard@leevalleypark.org.uk)

**PREVIOUS COMMITTEE REPORTS**

Executive Committee	E/774/22	Q1 Revenue Budget Monitoring 2022/23	22 September 2022
Executive Committee	E/767/22	Q4 Revenue Budget Monitoring 2021/22	26 May 2022
Executive Committee	E/765/22	Annual Report on Treasury Management Activity 2021/22	26 May 2022
Authority	A/4312/22	2022/23 Revenue Budget & Levy	20 January 2022
Executive Committee	E/751/22	2022/23 Revenue Budget & Levy	20 January 2022

**APPENDICES ATTACHED**

Appendix A	Summary of outturn forecast
Appendix B	Utility budgets and forecasts 2022/23

**LIST OF ABBREVIATIONS**

LSC	Leisure Services Contract
GLL	Greenwich Leisure Limited
the Trust	Lee Valley Leisure Trust Ltd (t/a Vibrant Partnerships)
MTFP	Medium Term Financial Plan

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## OPERATIONAL OUTTURN SUMMARY

YEAR 2022/23

PERIOD: 05 (August 2022)

	Annual Net Budget	Proposed Net Outturn	Variance £000s
Events (Incl Commonwealth Games)	31	(226)	(257)
Legal	417	591	174
Property	(1,142)	(1,317)	(175)
Leisure Services Contract	2,681	2,751	70
Parklands and Open Spaces	2,605	2,629	24
Small Venues	(798)	(742)	56
Caravan Sales	(207)	(207)	0
Corporate Insurance	594	491	(103)
Other	3,937	3,921	(16)
Financing	1,787	1,785	(2)
Levy	(9,768)	(9,768)	0
	<b>137</b>	<b>(92)</b>	<b>(229)</b>
Above budget Pay Rise (c. 5%)	0	168	168
Utilities Price Increase - LV	0	365	365
Utilities Price Increase - GLL (In addition to contingenc	0	395	395
NI Reduction	0	(18)	(18)
	<b>137</b>	<b>818</b>	<b>681</b>

**LEE VALLEY REGIONAL PARK AUTHORITY  
OPERATIONAL OUTTURN SUMMARY**

	Annual Net Budget	Net Budget Movement	Utility Cost Increases	Employee Cost Increases	Proposed Net Outturn	Variance £000s
Chief Executive	682	(16)	0	2	668	(14)
Corporate Services	(194)	21	5	9	(159)	35
Finance and Support Services	2,366	(103)	0	14	2,277	(89)
Sport and Leisure	983	(283)	0	20	720	(263)
Parklands and Open Spaces	2,605	27	110	53	2,795	190
Small Venues	(1,004)	57	250	51	(645)	359
Leisure Services Contract	2,681	70	395	0	3,146	465
Financing	1,786	(2)	0	0	1,784	(2)
Levies on Local Authorities	(9,768)	0	0	0	(9,768)	0
<b>BUDGET SURPLUS/DEFICIT</b>	<b>137</b>	<b>(229)</b>	<b>760</b>	<b>150</b>	<b>818</b>	<b>681</b>
<b>General Fund Balance</b>						
Brought forward 01/02/2022	(3,883)				(3,883)	
Carried Forward 31/03/2023	(3,746)				(3,065)	



Lee Valley Regional Park Authority  
Energy Budgets and Forecasts 2022/23

	BUDGET			FORECAST			Variance £s
	Expend	Income	Net	Expend	Income	Net	
	£s	£s	£s	£s	£s	£s	
LEE VALLEY MARINA SPRINGFIELD	52	(25)	27	93	(34)	59	32
LEE VALLEY MARINA STANSTEAD	21		21	43		43	22
LEE VALLEY WATERWORKS CENTRE	18		18	37		37	19
LEE VALLEY FARM HOLYFIELDHALL	18		18	43		43	25
LEE VALLEY CAMPSITE	50	(34)	16	128	(53)	75	59
LEE VALLEY CARAVAN PARK *	126	(94)	32	230	(135)	95	63
LV LEISURE CENTRE CAMPSITE	47		47	91		91	44
LV LEISURE CENTRE GOLF COURSE	2		2	13		13	11
MYDDELTON HOUSE & GARDENS	26		26	84		84	58
RANGERS & COUNTRYSIDE AREAS	16		16	43		43	27
RESIDENTIAL & COMMERCIAL RENTALS	9		9	14		14	5
<b>TOTAL ENERGY COSTS</b>	<b>385</b>	<b>(153)</b>	<b>232</b>	<b>819</b>	<b>(222)</b>	<b>597</b>	<b>365</b>

\* Lee Valley Caravan Park - Fixed Gas prices until March 2023

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## **FEES AND CHARGES POLICY**

Presented by the Corporate Director

### **EXECUTIVE SUMMARY**

This report sets out a proposed update to the Authority's current Fees and Charges Policy.

### **RECOMMENDATION**

Members Approve (1) recommendation of the draft Fees and Charges Policy to the Authority for adoption.

### **BACKGROUND**

- 1 The Authority reviews fees and charges annually as part of the budget setting process. The current Fees and Charges Policy was approved at the Authority meeting on 24 January 2013 (Paper A/4161/13).
- 2 The policy was updated in 2015 after Members requested a review of the concessionary groups at a Fees and Charges Workshop. This was reported at the Executive meeting on 17 December 2015 (Paper E/430/15).
- 3 Whilst developing the Leisure Services Contract (LSC), which involved a number of Member workshops, it was identified that the groups eligible for concessionary pricing within the existing Fees and Charges Policy was in need of review.

### **FEES AND CHARGES POLICY**

- 4 The Authority's approach to fees and charges is based on its business philosophy of being *community focused and commercially driven*. Pricing is reviewed annually to consider inflation, historic performance, customer feedback, the competitive market and comparators. Pricing is set at the market level. Concessionary groups identified in the policy are eligible for discounts, and mechanisms such as the Community Access Fund (CAF) can be used to provide targeted support to key groups to encourage access.
- 5 This approach has not changed in the updated policy, the key changes are summarised below.
- 6 **Operating Models**  
The policy has been updated to reflect the mix of operating models and how fees and charges are managed across different models. The table below provides a summary.

Model	Examples	Fees and Charges Approach
In house	Campsites / Marinas	Authority Controls the setting of fees and charges
Management Contract	Leisure Services Contract (LSC)	The contractor sets fees and charges, but the Authority has some controls in place. For example, the contract specifies concessionary groups that must be offered discounted pricing
Commercial Lease	Hayes Hill Farm / Youth Hostel / Odeon Cinema / Boat Centre	The Authority has no control over the setting of fees and charges

## 7 Concessions

When developing the LSC the Member Working Group identified that the existing concessions policy was in need of updating, and an updated concession list was included in the contract which offers concessionary pricing to a wider range of target groups. The Fees and Charges Policy has now been updated to align with the categories identified in the LSC which is shown in the table below. The last two groups in the table below were not in the previous concession list and the previous "Under 16s" group has been expanded to now include "Young People aged 18 and under".

Groups Eligible for Concessionary Pricing	Change
Young People aged 18 and under	Amended
Residents aged at the national retirement age or older	No Change
People in receipt of Job Seekers Allowance or Income Support	No Change
Those registered as Disabled under the Equality Act 2010 and, where appropriate, their carers	No Change
Young People in care and their carers	Added
Under 25s on the following: School/Further Education courses, Higher Education Courses, Modern Apprenticeships, NVQ Training Schemes and Life Skills Training.	Added

- 8 The Authority's leisure services are more diverse than most local authorities where they can generally offer a standard approach for discounted health and fitness memberships and sporting activities. The LSC states that concessionary prices must offer at least a 40% discount on all activity prices. The Fees and Charges Policy has been updated to reflect this same approach. However, the services that are delivered in-house by the Authority generally fall outside of the definition of 'activities'. For these services, for example campsites and marinas, it is not considered appropriate to offer concessionary pricing, in line with the markets in which they operate.

The Authority currently offers the following discounts, with only golf being defined as an 'activity'. From 2023/24 golf pricing will be updated to include discounts for all concession groups, with at least 40% discount.

Service	Fee	Concession Group	Concession Discount
Car Parking	Annual permit	People with disabilities	100%
Campsites	Touring fee	Under 18s	50-60%
Golf	Membership	Under 18s	90%
Golf	Green Fees	All concession groups	30%
Golf	Footgolf	Under 18s	50%

## 9 Staff, Member and Volunteer Discounts

The sections on Staff, Member and Volunteer discounts and Promotions have been updated to reflect current practice. Casual staff have not been eligible for staff discounts in the past so as not to blur their employment status and confer employment

rights. A new system for casual staff is being introduced that is more in line with volunteer discounts, where they become eligible for discounts after working a set number of hours in a year.

- 10 The associated procedure that forms part of the annual budget setting process has been updated to reflect current practice. This includes the increased use of intelligence that has been enabled through the advancements in booking systems and financial analysis. This is summarised in the policy.

#### **FEES AND CHARGES REVIEW 2023/24**

- 11 The review of fees and charges for 2023/24 will be completed in line with this policy and reported to Members as part of the budget setting process.
- 12 Officers are currently discussing options for fees and charges at LSC venues with GLL to address the budget pressures caused by increased energy prices.

#### **ENVIRONMENTAL IMPLICATIONS**

- 13 There are no environmental implications arising directly from the recommendations in this report.

#### **EQUALITY IMPLICATIONS**

- 14 The Fees and Charges Policy details concessionary groups that are eligible for discounts to ensure equitable access to activities.

#### **FINANCIAL IMPLICATIONS**

- 15 The annual review of fees and charges forms part of the budget setting process. All fees and charges will have a yearly increase in their prices linked to the Retail Price Index (RPI) as of September in the prevailing year. However, the overall change in price may increase or decrease subject to the factors identified in the policy.

#### **HUMAN RESOURCE IMPLICATIONS**

- 16 There are no human resource implications arising directly from the recommendations in this report

#### **LEGAL IMPLICATIONS**

- 17 There are no legal implications arising directly from the recommendations in this report.

#### **RISK MANAGEMENT IMPLICATIONS**

- 18 Risk of non-achievement of income targets is identified on the Strategic Risk Register (SR4.1). The Fees and Charges Policy aims to ensure that pricing reviews are intelligence led, looking at internal and external information as well as inflation to set prices at optimum levels and build budgets that reflect these price changes.

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Author: Michael Sterry, 01992 709805, [msterry@leevalleypark.org.uk](mailto:msterry@leevalleypark.org.uk)

**ABBREVIATIONS**

LSC Leisure Services Contract

**PREVIOUS COMMITTEE REPORTS**

Executive Committee	E/430/15	Fees and Charges Review 2016/17	17 December 2015
Authority	A/4161/13	Fees and Charges Policy	24 January 2013

**APPENDIX ATTACHED**

Appendix A Fees and Charges Policy



# Fees and Charges Policy

October 2022

Reference: [Version 3.0]



This document is controlled by Lee Valley Regional Park Authority.

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**Lee Valley Regional Park Authority,**  
Myddelton House, Bulls Cross,  
Enfield, Middlesex, EN2 9HG

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## i Document Information

**Title:** Fees and Charges Policy**Status:** Draft**Current Version:** v3.0

<b>Author</b>	Name – Michael Sterry Senior Accountant ✉ <a href="mailto:msterry@leevalleypark.org.uk">msterry@leevalleypark.org.uk</a> ☎ (01992) 709805
<b>Sponsor</b>	Name – Jon Carney Corporate Director ✉ <a href="mailto:jcarney@leevalleypark.org.uk">jcarney@leevalleypark.org.uk</a> ☎ (01992) 709804
<b>Consultation:</b>	Sport and Leisure Finance Marketing Operations Human Resources Policy & Procedure Review Group Senior Management Team
<b>Approved</b>	<b>Approved by:</b> Authority <b>Approval Date:</b> 20 <sup>th</sup> October 2022 <b>Review Frequency:</b> Every 5 years or earlier if there is a change in Government legislation regarding concessions or benefits. <b>Next Review:</b> October 2027

Version History		
Version	Date	Description
1.0	24 <sup>th</sup> January 2013	Signed off at Authority (paper A/4161/13)
2.0	17 <sup>th</sup> December 2015	Updated concessionary groups agreed at Executive (paper E/430/15)
3.0	20 <sup>th</sup> October 2022	Signed off at Authority paper A/xxx/22

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## 1. Background

- 1.1 The Lee Valley Regional Park Act of 1966 sets out the remit for the Lee Valley Regional Park to be a leisure resource for the region of London, Hertfordshire and Essex.
- 1.2 Lee Valley Regional Park Authority (LVRPA) aims to deliver a vision for the Lee Valley Regional Park (LVRP) to be a world class leisure destination that attracts visitors from across the region.
- 1.3 The Act allows LVRPA to charge a levy on the council tax in London, Hertfordshire and Essex to fund the management of the LVRP.
- 1.4 LVRPA has a strategic aim to reduce the reliance on the levy and be increasingly self-sufficient in terms of funding. It has been successful in reducing the levy in both real and actual terms over a sustained period. This has been achieved through optimising business models, successful investment projects, increased income and more efficient working practices.
- 1.5 A key element of this success has been the approach to setting fees and charges. The Authority has a business philosophy of being *community focused and commercially driven*. A commercial approach to pricing can generate funds that enable targeted support for key groups to access the Park through concessionary pricing and funding.

## 2. Policy Aims

- 2.1 The aim of this policy is to support the sustainable financial management of LVRPA through the setting of fees and charges that optimise income whilst ensuring the activities and programmes it offers are accessible to the regional population.
- 2.2 This policy will clearly define:
  - The approach to setting fees and charges for different operating models
  - Which charges are covered by the Fees and Charges Policy and which are not
  - The rationale behind charging a concessionary rate, and defining exactly who is eligible for such rates
  - The approach to offering Staff, Member and Volunteer discounts
  - The approach to using Promotional pricing
  - The framework for annually reviewing and setting charges for in-house delivery

### 3. Content

#### 3.1 Fees and Charges for different operating models

- 3.1.1 Operating models in public sector leisure have evolved over recent decades, from predominantly in-house delivery to increased outsourcing following Compulsive Competitive Tendering and Best Value regimes. The landscape is now a mixed economy of in-house delivery and outsourced contracts to private contractors and leisure trusts.
- 3.1.2 LVRPA reflect this environment, having reviewed the best operating models for the varied leisure services that exist within the Park. These fit into three categories:
- 3.1.3 **In-house delivery:** where LVRPA delivers the service and has full control over pricing
- 3.1.4 **Management contracts:** where a contractor delivers the service but must comply with a management contract. The specification of this contract gives the Authority some control. The contractor has control over pricing, but the contract can include requirements such as a requirement for discounted concessionary pricing.
- 3.1.5 **Commercial leases:** where LVRPA are the landlord and have an agreement with another business who operate the service. The operator has commercial freedom and LVRPA have no control over pricing.
- 3.1.6 This approach is *commercially driven* as in each of the models the pricing will be set based on the operator's knowledge of the market in which they're operating, with the aim of achieving financial targets.
- 3.1.7 LVRPA ensure a *community focus* for in-house services and management contracts through concessionary discounts that target disadvantaged groups, and the Community Access Fund (CAF) that provides a mechanism for targeting support for key groups.

#### 3.2 Which charges are covered by this policy

- 3.2.1 All venue and service charges that are set by the Authority are subject to this policy except:
- Catering and retail products. The selling prices are calculated ensuring a minimum gross profit is achieved after accounting for cost of sales.
  - Property rents.
  - Income from third party contracts where the Authority is unable to influence the level of income.

### 3.3 Concessionary pricing

3.3.1 Encouraging use of LVRP from disadvantaged groups, by offering below market, or concessionary rates helps to improve equality of access. Based on examples of best practice the Authority has identified the following groups that are eligible for concessionary pricing.

Groups Eligible for Concessionary Pricing
Young People aged 18 and under
Residents aged at the national retirement age or older
People in receipt of Job Seekers Allowance or Income Support
Those registered as Disabled under the Equality Act 2010 and, where appropriate, their carers
Young People in care and their carers
Under 25s on the following: School/Further Education courses, Higher Education Courses, Modern Apprenticeships, NVQ Training Schemes and Life Skills Training.

3.3.2 Concessionary prices will offer at least a 40% discount on all activity prices. Activities are defined as sports or physical activities. These will be detailed in the annual review of fees and charges.

3.3.3 Concessionary prices are not offered for services that are not defined as activities. For these services, for example campsites and marinas, it is not considered appropriate to offer concessionary pricing, in line with the markets in which they operate.

### 3.4 Staff, Member and Volunteer discounts

3.4.1 Offering discounts to Staff, Members and Volunteers can be an effective tool to recognise their contribution towards the success of the LVRP. Encouraging use of the LVRP also helps to increase their awareness of the venues and services on offer, and can generate further business through recommendations.

3.4.2 Discounts can vary across venues and services depending on capacity, demand and cost base.

3.4.3 Discounts for Staff, Members and Volunteers apply where the relevant criteria are met. These discounts will be reviewed each year as part of the annual fees and charges process.

3.4.4 All permanent members of staff and those on fixed term contracts are eligible to receive staff discounts. They need to provide the relevant evidence when booking/ paying for admission. Staff discounts are detailed on the Authority's intranet.

3.4.5 Casual staff are eligible for discounts if they work for a minimum number of hours per annum in any one calendar year. This is detailed on the Authority's intranet.

3.4.6 Authority Members are able to receive 'staff discounts' but must be aware that all benefits and discounts received must be recorded in their record of interest, each and every time they receive a discount.

3.4.7 Volunteers are eligible for discounts if they volunteer for a minimum number of hours per annum in any one calendar year. This is detailed within the volunteers procedures.

### 3.5 Promotions

3.5.1 In order to enable a more commercial approach it is important that officers can use marketing campaigns and promotional pricing to increase bookings of specific activities for defined periods. Changes to the agreed fees and charges can be made for this purpose.

3.5.2 To have a particular charge varied the approval of the relevant service Director must be obtained in advance.

3.5.3 In approving a variation the following must be considered:

- Reasons for seeking variation, i.e. purpose of the campaign
- Benefits to be achieved
- Likely impact of variation on total income levels
- A commitment to review the benefit/effect of the variation

3.5.4 Sustained promotions can be offered where there is a justification for this, for example discounted pricing for Key Workers or other identified target groups.

### 3.6 Charging Framework and Process for In-house operations

3.6.1 The Authority will undertake a full review of all Fees and Charges for in-house operations identified by this Policy annually.

3.6.2 In keeping with sound economic growth principles, all venues / services will have a yearly increase in their prices linked to the Retail Price Index (RPI) as of September in the prevailing year. However, the overall change in price may increase or decrease subject to the factors identified in the process summarised below:

- **Venue / Service level review**
  - Review what we are charging for and who is charged
    - Review if existing charging is meeting our objectives (financial and non-financial)
    - Any charges to be added or removed
    - Any proposed changes to concessionary pricing
  - Review internal data
    - Income generated (against previous years and budget)
    - Related expenditure / profit margin

- Take up of activity – usage / occupancy etc
- Are we attracting our target customers / achieving targets
- Review the impact of any promotional pricing
  
- Listen to feedback
  - Visitor tracking feedback
  - Complaints, compliments and ad hoc feedback
  - Staff feedback
  
- Review external data to understand the market
  - Review comparators – their products and pricing
  - How is the market changing and where do we fit within the market
  
- Propose new pricing
  - Use the September RPI increase as a guide for approximate new pricing
  - Use the information above to adjust the pricing to an optimum level
  
- **Corporate level review**
  - Review impact of proposed charging on budget
  - Review staff, member, volunteer and partner discounts
  
- **Sign off process**
  - Corporate Director agrees proposals from managers
  - SMT agree proposals
  - Executive Committee approve the proposed fees and charges

#### **4. Responsibilities**

- 4.1 Senior Management Team are responsible for ensuring that any new management contracts for outsourced operations adhere to this policy.
- 4.2 The Finance team will oversee the fees and charges setting process as part of the annual budget process.
- 4.3 Venue and Service managers are responsible for proposing new fees and charges.
- 4.4 The Finance and Research functions will provide data-led support to managers.
- 4.5 The Corporate Director is responsible for reporting proposed fees and charges to the Executive Committee for approval.
- 4.6 Venue and Service Managers are responsible for ensuring all agreed fees are implemented at their facility, and updated correctly onto the Authority's website, working with the Marketing team.

## **5. Legal Considerations**

- 5.1 Any changes to those who are entitled to Government benefits, and the relevant documentation required to receive concessionary rates will be reviewed annually.

## **6. Relevant Policy & Procedures**

- 6.1 The Authority's Fees and Charges procedure provides further detail on the annual process.

## **7. Monitoring & Evaluation**

- 7.1 The effectiveness of this policy will be monitored every year as part of the annual fees and charges setting process. Any changes will be included as the annual charges are agreed.



## **HUMAN RESOURCES POLICY UPDATES**

Presented by the Head of Human Resources

### **EXECUTIVE SUMMARY**

The purpose of this report is to seek Member approval for the revised Equality, Diversity & Inclusion Policy, Non-smoking Policy and Recruitment Policy that have been updated as part of the ongoing review of all the Authority's existing policies. The policies have been updated to take account of legislative changes, best practice and the Authority's business objectives.

### **RECOMMENDATIONS**

Members Recommend to Authority:

- (1) the Equality, Diversity and Inclusion Policy attached at Appendix A of this report;
- (2) the Non-smoking Policy attached at Appendix B of this report; and
- (3) the Recruitment Policy attached at Appendix C of this report.

### **BACKGROUND**

- 1 The Authority has a register of policies that ensure the organisation works efficiently and consistently towards delivering its Business Strategy. These policies are reviewed to ensure they are relevant and up to date with legislation and best practice.
- 2 There are a number of Human Resources policies and these are currently being updated and will be presented to Members for consideration and approval as and when they are reviewed.
- 3 It should be noted that the Authority implements legislative changes from the date they are introduced; and there may be a time lag between this and the relevant policies being updated.

### **EQUALITY, DIVERSITY & INCLUSION POLICY**

- 4 A draft of the Equality, Diversity & Inclusion Policy is attached at Appendix A of

this report for Members' consideration and approval.

- 5 The Equality, Diversity and Inclusion Policy sets out the principles and practices that the Authority will adopt to meet with its legal obligations and its commitment to treat employees, workers, casuals, volunteers and job applicants fairly.
- 6 The Authority aims to recruit, develop and retain the most talented people, regardless of their background or characteristics, and make best use of their skills and potential
- 7 The Authority aims to establish a workforce that reflects the communities we serve.

#### **NON-SMOKING POLICY**

- 8 A draft of the Non-Smoking Policy is attached at Appendix B of this report for Members' consideration and approval.
- 9 The Non-smoking Policy aims to minimise risks to the health and safety of our staff and establish a tobacco and nicotine smoke free working environment, where non-smoking is regarded as the norm.
- 10 The policy also makes staff aware of the adverse effects of smoking and passive smoke exposure and provides information and facilities to help staff to break the smoking habit.
- 11 The aim of the proposed policy is to ensure that the Authority complies with the relevant legislation.

#### **RECRUITMENT POLICY**

- 12 A draft of the Recruitment Policy is attached at Appendix C of this report for Members' consideration and approval.
- 13 The Authority recognises that its employees are fundamental to its success. A strategic and professional approach to the recruitment process helps enable the Authority to attract and appoint employees with the necessary skills and attributes to fulfil its strategic aims.
- 14 This policy aims to:
  - appoint the best person for each post;
  - represent the Authority professionally at all stages of the process;
  - to meet the Authority's operational requirements;
  - ensure the Authority's Equality, Diversity and Inclusion Policy is adhered to; and
  - to comply with all relevant legislation.

#### **ENVIRONMENTAL IMPLICATIONS**

- 15 There are no environmental implications arising directly from the recommendations in this report.

## **FINANCIAL IMPLICATIONS**

- 16 There are no financial implications arising directly from the recommendations in this report.

## **HUMAN RESOURCE IMPLICATIONS**

- 17 The new policies will be communicated to all staff and the Authority will ensure that managers are adequately trained to implement the procedures in accordance with these policies.

## **LEGAL IMPLICATIONS**

- 18 The legal implications are set out in the body of this report.

## **RISK MANAGEMENT IMPLICATIONS**

- 19 In line with the Authority's Corporate Risk Register, there is always a potential risk that the Authority fails to recruit/retain staff at all levels of the appropriate calibre. The Recruitment Policy and Equality, Diversity & Inclusion Policy aim to help mitigate this risk.

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Author: Victoria Yates, 01992 709 915, [vyates@leevalleypark.org.uk](mailto:vyates@leevalleypark.org.uk)

## **APPENDICES ATTACHED**

Appendix A	Equality, Diversity & Inclusion Policy
Appendix B	Non-Smoking Policy
Appendix C	Recruitment Policy

## **LIST OF ABBREVIATIONS**

HR	Human Resources
EDI	Equality, Diversity & Inclusion

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# Equality, Diversity and Inclusion Policy

**August 2022**



Reference: [Version 3.0]



This document is controlled by Lee Valley Regional Park Authority.

Status: Draft

Current Version: v3.0

<b>Author</b>	Victoria Yates - Head of Human Resources  <a href="mailto:vyates@leevalleypark.org.uk">vyates@leevalleypark.org.uk</a>  (01992) 709915
<b>Sponsor</b>	Beryl Foster - Deputy Chief Executive  <a href="mailto:bfoster@leevalleypark.org.uk">bfoster@leevalleypark.org.uk</a>  (01992) 709836
<b>Consultation:</b>	Senior Management Team, Policy/Procedure Review Group
<b>Approved</b>	Approved by: Authority Approval Date: October 2022  Review Frequency: Every 5 years or earlier if there is a change in Government legislation  Next Review: October 2027

<b>Version History</b>		
<b>Version</b>	<b>Date</b>	<b>Description</b>
2.0	January 2019	Reference to the Equality Act 2010 and the types of discrimination. Included expected standards for employees. Refers to the Authority's Grievance policy/procedure and Whistleblowing Policy. Refers to training as there is now an eLearning module. Includes a flowchart for ease of use.
3.0	November 2021	Renamed from Equal Opportunities Policy to Equality, Diversity and Inclusion Policy. Reviewed legislation. Reviewed relevant policies and procedures section. Updated officer names and job titles.
3.0	August 2022	Including Volunteers as part of this policy rather than having two separate policies.
3.0	August 2022	Added statement of Intent
3.0	August 2022	Reviewed and updated the responsibilities section the policy
3.0	August 2022	Reviewed and updated the monitoring and evaluation section.
3.0	August 2022	Updated the aims of the policy.

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## 1 Background

The Equality, Diversity and Inclusion Policy sets out the principles and practices that the Authority will adopt to meet with its legal obligations and its commitment to treat employees, workers, casuals, volunteers and job applicants fairly. The policy shows the Authorities commitment to:

- Its staff and volunteers to treat them equally, fairly and with transparency at all times
- recruit applicants without bias, pre-judgement or at an unfair advantage
- providing guidelines and information for staff and volunteers relating to equality and signposting to further information about equal opportunities
- what will happen if staff and volunteers do not comply with rules about equal opportunities

## 2 Aims

- 2.1 This policy aims to make sure that we treat our people fairly, reduce inequalities, and comply with the law (Equality Act 2010 and other relevant legislation covering equality and human rights).

2.2 The Authority aims to recruit, develop and retain the most talented people, regardless of their background or characteristics, and make best use of their skills and potential. Our equality, diversity and inclusion policy supports delivery of this aim.

2.3 The Authority aims to establish a workforce that reflects the communities we serve.

2.4 The Authority aims to enable everyone to be recognised and referred to as they wish and to meaningfully and effectively respond to any concerns and issues raised.

### **3 The Equality Act 2010**

3.1 The Equality Act 2010 legally protects people from discrimination in the workplace and in wider society. It replaced previous anti-discrimination laws with a single Act, making the law easier to understand and strengthening protection in some situations. It sets out the different ways in which it's unlawful to treat someone.

3.2 Fairness in the workplace is a vital part of a successful business and also makes good business sense in running and developing an organisation. The aim of the Equality Act is to improve equal job opportunities and fairness for employees and job applicants. Organisations should have policies in place to prevent discrimination. Under the Act, it is unlawful to discriminate against people at work because of nine areas termed in the legislation as protected characteristics:

- Age
- Disability
- Gender Reassignment
- Marriage and Civil Partnerships
- Pregnancy and Maternity
- Race
- Religion and Belief
- Gender
- Sexual Orientation

### **4 Types of Discrimination**

#### **Direct Discrimination**

This is where someone is treated differently and less favourably because of a protected characteristic.

#### **Indirect Discrimination**

Where a workplace rule, practice or procedure is applied to all employees, but disadvantages a person for a reason linked to a protected characteristic.

#### **Discrimination by Association**



Where treating someone 'less favourably' because of their association with someone linked to a protected characteristic.

### **Perception Discrimination**

Where treating someone 'less favourably' because of a perceived protected characteristic.

### **Victimisation**

Where treating someone unfairly because they have made or supported a complaint about someone with a protected characteristic.

### **Bullying and Harassment**

When unwanted conduct from one employee to another causes a distressing, humiliating or offensive environment for that person.

## **5 Equality at Work**

5.1 The Authority has many policies and procedures that apply fair and objectively justified criteria to ensure equality is maintained throughout a process. In all circumstances, all possible steps should be taken in order maintain equality, fairness and transparency to ensure that the Applicant does not suffer from any disadvantage in the recruitment process.

5.2 The Authority will ensure that equality, fairness and transparency for employees are applied to all employment areas including but not exhausted to:

- Employment terms and conditions
- Flexible Working
- Health & Safety
- Training & Development
- Maternity, Paternity and Shared Parental Leave
- Pay and benefits
- Performance Management
- Procurement
- Promotion and transfer opportunities
- Recruitment and selection
- On boarding and induction
- Redundancy
- Dismissal

## **6 Statement of Intent**

We recognise that equality, diversity and inclusion makes us a stronger organisation. We are committed to continuously building a workforce which reflects, includes and celebrates diversity. We value the contribution that people with different backgrounds, skills, talents, ideas and experiences bring to the organisation.

## **7 Expected Standards**

The Authority expects all staff and volunteers to conduct themselves in a professional and considerate manner at all times. The Authority will not tolerate behaviour such as:

- making threats
- physical violence
- shouting (in an unprofessional, aggressive or threatening manner)
- swearing at others
- persistent rudeness
- isolating, ignoring or refusing to work with certain people
- telling offensive jokes or name calling (in any format)
- displaying offensive material such as pornography or sexist / racist cartoons, or the distribution of such material via email/ text message or any other format including social media
- any other forms of harassment or victimisation

Failing to meet the expectations set by the Authority will be considered unacceptable and will be dealt with in line with the Authority's Disciplinary procedure. Staff and volunteers are responsible for, and must take ownership of their actions. Staff and volunteers must understand that what they believe to be an innocent act or comment may have caused offence to others.

## **8 Responsibilities**

- 8.1 All staff and volunteers are responsible for their own actions and should act as role models for others during their employment with the Authority. All staff and volunteers should act professionally, with consideration for others and in a fair and transparent manner when carrying out duties on behalf of the Authority.
- 8.2 The Senior Management Team is accountable for ensuring that this policy is implemented across the Authority, ensuring it is communicated and understood, translated into practice and enforcing its contents.
- 8.3 The Human Resources Team is responsible for implementing this policy across the Authority and ensuring all staff and volunteers receive regular and adequate training on equality, diversity and inclusion.
- 8.4 Managers must ensure that all staff and volunteers are able to readily access copies of the Authority's Equality, Diversity and Inclusion Policy and ensure that staff and volunteers understand and embrace this policy, are aware of their responsibilities under it, complete any training and know how to raise and voice concerns.

**8.5 Managers will also foster a culture and maintain an environment which actively promotes equality, diversity and inclusion and that is free from discrimination.**

## **9 Legal Considerations**

9.1 The primary legislation that influences this policy is the Equality Act 2010.

## **10 Relevant Policy & Procedures**

10.1 This policy operates in conjunction with the following policies, procedures and statements:

- The ACAS Code of Practice on discipline and grievance 2015
- Whistleblowing Policy
- Anti-Fraud, Bribery and Corruption Policy
- Performance & Conduct Policy
- Disciplinary Procedure
- Grievance & Problem Solving Policy
- Grievance & Problem Solving Procedure
- Appeals Procedure
- Flexible Working Procedure
- Recruitment Policy
- Recruitment Procedure
- Training and Development Policy
- Training and Development Procedure
- Maternity Procedure
- Paternity Procedure

## **11 Monitoring and Evaluation**

11.1 The Authority will maintain and review the employment records of all employees in order to monitor the progress of this procedure in line with GDPR requirements. Monitoring may involve:

- The collection and classification of information regarding the race in terms of ethnic/national origin and sex of all applications and current employees
- The examination by ethnic/national origin and sex of the distribution of employees and the success rate of the applicants; and
- Recording recruitment, training and promotional records of all employees, the decisions reached and the reason for those decisions.

- 11.2 The results of any monitoring will be reviewed at regular intervals to assess the effectiveness of the implementation of this policy. Consideration will be given, if necessary, to adjusting this policy to afford greater equality of opportunities to all applicants and employees.
- 11.3 The Authority will treat any complaints seriously and will take action where appropriate. Employees that believe they been treated unfairly in any way should raise their issue(s) in line with the Authority's Grievance or Whistleblowing procedures. The Authority will investigate any complaints in line with the Authority's Disciplinary procedure. The Authority may also monitor the number and outcomes of complaints raised in any period of time in order to monitor the performance of this policy and the Authority's commitment to equality, diversity and inclusion in the workplace.
- 11.4 All cases will be dealt with as quickly as possible and treated with the utmost confidence.
- 11.5 Whilst the Authority does not wish to deter staff or volunteers who wish to make genuine complaints, the Authority believes that vindictive or deliberately false complaints will be viewed just as seriously and will be dealt with under the disciplinary procedure.
- 11.6 The Authority will provide appropriate learning and development opportunities to take place to ensure all employees are aware and understand the expectations of them during their employment. This begins during an employee's induction and is continued with ongoing learning from the Authority's e-Learning platform as well as face to face sessions. Learning & Development represents a vital part of the implementation and commitment to equality, diversity and inclusion within the Authority, and the completion of training on Equal Opportunities in the Authority is mandatory.
- 11.7 Individuals that do not show they have understood the Equality, Diversity and Inclusion training may be required to complete additional training or recomplete training.
- 11.8 The Authority will set up an Equality, Diversity and Inclusion steering group which will be made up of staff and volunteers from across the organisation.

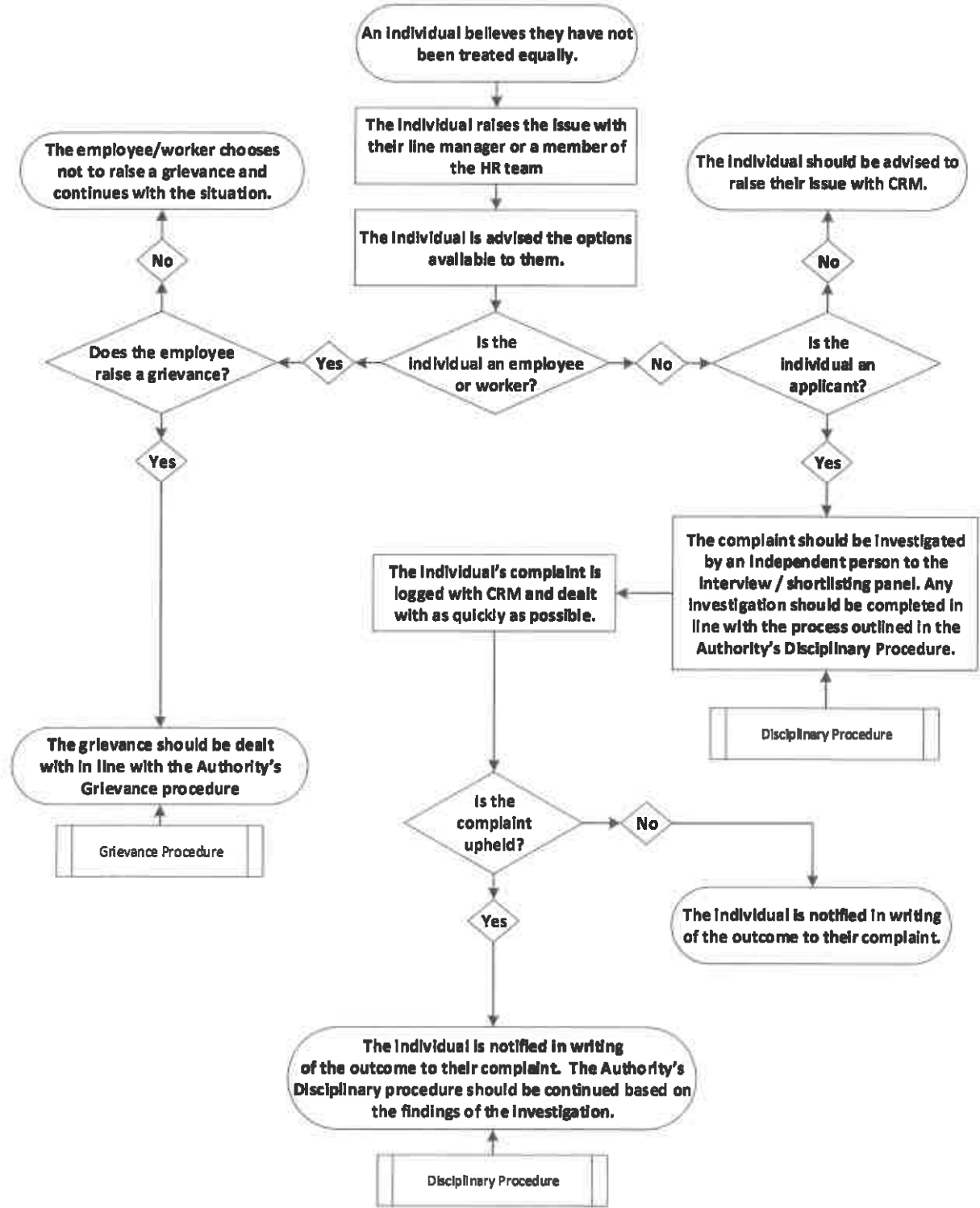
## 12 Review

- 12.1 This policy will be reviewed in light of any new legislation/regulations, every five years or whichever is the earlier.

## 13 Glossary of Terms

Term	Definition
LVRPA	Lee Valley Regional Park Authority
HR	Human Resources

# Appendix 1 - Flow Chart



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# Non-Smoking Policy

October 2022

Reference: [Version 1]



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## i Document Information

**Title:** Non-Smoking Policy**Status:** Draft**Current Version:** v1.00

<b>Author</b>	Victoria Yates – Head of Human Resources ✉ <a href="mailto:vyates@leevalleypark.org.uk">vyates@leevalleypark.org.uk</a> ☎ (01992) 709915 or x915
<b>Sponsor</b>	Beryl Foster –Deputy Chief Executive ✉ <a href="mailto:bfoster@leevalleypark.org.uk">bfoster@leevalleypark.org.uk</a> ☎ (01992) 709836
<b>Consultation:</b>	Senior Management Team, Policy/Procedure Review Group
<b>Approved</b>	<b>Approved by:</b> Authority <b>Approval Date:</b> October 2022  <b>Review Frequency:</b> Every 5 Years <b>Next Review:</b> October 2027

Version History		
Version	Date	Description
1.00	June 2022	Initial draft, circulated to Policy/Procedure Review Group
1.00	June 2022	Added in a paragraph on designated smoking areas
1.00	June 2022	Clarification on breaks added
1.00	June 2022	Different types of tobacco products added in, such as e-cigarettes
1.00	October 2022	Added in a definition

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## **1. Introduction**

- 1.1 Lee Valley Regional Park Authority is required by the Health and Safety at Work Act 1974 to ensure, so far as is reasonably practicable, the health, safety and welfare of employees, volunteers, visitors and contractors while on Lee Valley Regional Park Authority Premises (LVRPA).
- 1.2 Passive smoking causes cancer, coronary heart disease and respiratory disease and other health problems such as asthma, middle ear infections and migraine. Smoking also poses a fire risk and LVRPA has a duty to protect people from harm while on its premises.
- 1.3 The aim of the policy is to provide all employees with a smoke-free working environment. LVRPA has agreed the following statement of policy concerning smoking at work. This Policy applies to all employees, volunteers, visitors and contractors.

## **2. Policy Aims**

This policy is established to:

- 2.1 Minimise risks to the health and safety of our staff and establish a tobacco and nicotine smoke free working environment, where non-smoking is regarded as the norm.
- 2.2 Make staff aware of the adverse effects of smoking and passive smoke exposure and provide information and facilities to help staff to break the smoking habit.

## **3. Definition**

Smoking may include several different types which include smoking tobacco products such as cigarettes, cigars, pipes and hand rolled tobacco. Substitute cigarettes may include electronic cigarettes (e-cigarettes) and vapes (otherwise known as vaping).

## **4. No Smoking Areas**

- 4.1 Smoking is not permitted inside the buildings of LVRPA premises at any times. This will ensure employees, volunteers, visitors and contractors are protected from the dangers of passive smoking while on LVRPA premises.
- 4.2 Smoking is also prohibited:
  - within vehicles owned and operated by LVRPA

- within private or leased vehicles used during LVRPA business to transport any other employees or volunteers who does not smoke any tobacco products including electronic cigarettes.

**4.3 Smoking should only take place in designated areas which should be agreed by the Venue Manager. These areas should be out of sight of the general public**

## **5. Responsibilities**

- 5.1 Heads of Service, Section Managers, Facility Managers and Duty Managers are responsible for ensuring that employees, volunteers, visitors and contractors are made aware of this Policy, and that they comply with its requirements.
- 5.2 Managers must also ensure that any staff wishing to quit smoking will be allowed to access up to six stop smoking cessation sessions during work time. Adequate cover must be provided to allow staff time off to seek help quitting.

**5.3 Staff wishing to take breaks throughout the day for smoking may choose to do so however, this must be agreed with the line manager and be deducted from the overall time you receive each day for a break**

## **6. Enforcement**

- 6.1 All staff must comply with the policy. People found to be in breach of this policy will be subject to the normal disciplinary procedures.
- 6.2 People smoking tobacco products, electronic cigarettes or vaping products inside the buildings or on the grounds of LVRPA premises are required to give a civil and courteous response when asked to extinguish them. Abusive behaviour is unacceptable and will constitute a disciplinary offence.
- 6.3 Staff are encouraged to make people aware of the policy but should not put themselves at risk of physical or verbal abuse.

## **7. Complaint Procedure**

Staff wishing to register a complaint regarding non-compliance with this Policy should contact first their line Manager in an effort to settle the complaint informally. If the matter is not resolved, staff may pursue the matter formally via the Authorities Grievance and Problem Solving Procedure.

**8. Policy Implementation**

This policy will be available on the intranet (Compass) for all employees to access. Once the policy has been approved HR and line managers will be responsible for ensuring on behalf of the Authority's Senior Management Team that this is carried out.

**9. Monitoring & Evaluation**

The policy will be monitored and evaluated on effectiveness periodically.

**10. Review**

This policy will be reviewed in light of any new legislation/regulations, every five years or whichever is the earlier.

**11. Glossary of Terms**

<b>Term</b>	<b>Definition</b>
LVRPA	Lee Valley Regional Park Authority
HR	Human Resources

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# Recruitment Policy

July 2022

Reference: [Version 2.0]



This document is controlled by Lee Valley Regional Park Authority.

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## i Document Information

**Title:** Recruitment Policy**Status:** Draft**Current Version:** v2

<b>Author</b>	Victoria Yates – Head of Human Resources ✉ <a href="mailto:vyates@leevalleypark.org.uk">vyates@leevalleypark.org.uk</a> ☎ (01992) 709915 or x915
<b>Sponsor</b>	Beryl Foster – Deputy Chief Executive ✉ <a href="mailto:bfoster@leevalleypark.org.uk">bfoster@leevalleypark.org.uk</a> ☎ (01992) 709836
<b>Consultation:</b>	Senior Management Team, Policy and Procedure Review Group
<b>Approved</b>	<b>Approved by:</b> Authority <b>Approval Date:</b> October 2022  <b>Review Frequency:</b> Every 5 years or earlier if there is a change in Government legislation <b>Next Review:</b> October 2027

Version History		
Version	Date	Description
1.0	16 February 2006	Agreed at HR Panel Paper HR49
1.0	23 February 2006	Signed off at Finance & Audit Committee paper FA82
2.0	July 2022	Put into new policy template
2.0	July 2022	Update job titles and names
2.0	July 2022	Inserted section on equality, diversity and inclusion
2.0	July 2022	Inserted section on Job descriptions and person specifications
2.0	July 2022	Updated responsibilities section
2.0	July 2022	Reviewed against current legislation and best practice
2.0	July 2022	Inserted right to work checks section

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## 1 Background

- 1.1 The Authority recognises that its employees are fundamental to its success. A strategic and professional approach to the recruitment process helps enable the Authority to attract and appoint employees with the necessary skills and attributes to fulfil its strategic aims.
- 1.2 The Authority is committed to ensuring that the recruitment and selection of employees is conducted in a manner that is systematic, efficient and effective and promotes equality, diversity and inclusion and aims to establish a workforce that reflects the communities we serve.
- 1.3 Recruitment should be treated as a key public relations exercise as the way it is managed affects the Authority's image and consequently its ability to attract and appoint high calibre employees.
- 1.4 Professional advice and support is available at all stages of the recruitment process from the HR Team.

## 2 Policy Aims

- 2.1 To appoint the best person for each post
- 2.2 Represent the Authority professionally at all stages of the process
- 2.3 To meet the Authority's operational requirements
- 2.4 Ensure the Authority's Equality, Diversity and Inclusion Policy is adhered to
- 2.2 To comply with all relevant legislation

## 3 Job Descriptions & Person Specifications

- 3.1 Before initiating the recruitment process, the responsible line manager must ensure that there is an up-to-date job description for the role.
- 3.2 The job description will describe the duties, responsibilities, level of seniority associated with the role and pay and benefits, while the person specification will describe the type of qualifications, training, knowledge, experience, skills, aptitudes, competencies and personal qualities required for effective performance of the job.
- 3.3 The line manager should consult with Human Resources when reviewing the job description and person specification to ensure consistency.

## 4 Advertisement of Vacancies

- All vacancies will be advertised within the Authority. Internal advertising may be undertaken prior to, or at the same time as external advertising (should external advertising be deemed necessary). This will help maximise equality of opportunity and provide employees with opportunities for career development, thus maintaining the skills and expertise of existing employees.

- In exceptional circumstances the Senior Management Team, in consultation with Human Resources, may waive the need to advertise. This is likely to include the following circumstances:
  - Where positions may provide suitable alternative employment for existing employees whose post has been identified for redundancy, including the termination of fixed term contracts or following a restructuring exercise.
  - Where an individual has been performing the vacant position already as an agency worker, casual worker or fixed term employee
  - Where the vacancy is a casual position
- Positions will be advertised using the most appropriate and cost effective medium to maximise the number of suitably qualified candidates. Applicants will be treated with respect and provided with sufficient information to make informed decisions regarding their suitability for the role.

## 5 Equality, Diversity and Inclusion

The Authority is committed to applying our equality, diversity and inclusion policy at all stages of recruitment and selection. We always carry out shortlisting, interviewing and selection without regard to an applicant's sex, gender identity, sexual orientation, marital or civil partnership status, skin colour, race, nationality, ethnic or national origins, religion or belief, age, pregnancy or maternity leave or trade union membership.

We will never exclude any candidate with a disability unless it is clear that the candidate is unable to perform a duty that is intrinsic to the role, having taken into account reasonable adjustments. Line managers must only ask a candidate questions about their health where this is directly necessary for a particular role and, in any event, only once they have been shortlisted.

To prevent any candidate from being disadvantaged because of a disability, the individual responsible for communicating with applicants should ask each candidate whether they require reasonable adjustments to be made. These may include ensuring easy access to the premises for an interview/adapting psychometric tests/replacing psychometric tests with an alternative option/providing an alternative to a telephone interview for a deaf candidate/providing a suitable chair for an interview with a candidate suffering from back problems.

Human Resources are always available to provide guidance on reasonable adjustments.

## 6 Interviews

Interview panels should have a minimum of two officers and no more than four. The officer who will be line-managing the person appointed will normally be the panel chair.

Line managers conducting recruitment interviews will ensure that the questions that they ask job applicants are not in any way discriminatory or unnecessarily intrusive. The interview will focus on the role and the skills needed to perform it effectively.

Line managers must make a record of every recruitment interview and score each candidate on set criteria and forward this to Human Resources to be retained for a

suitable period of time. To ensure fairness, the line manager should ensure that questions asked are consistent in all interviews for a particular job.

In some cases, we will hold interviews remotely. The responsible line manager should in advance provide the interviewee with details of how the interview will be conducted. They should also give the interviewee the opportunity to provide details of any reasonable adjustments that should be made or technological difficulties that they may encounter.

## 7 Medical Examinations

Successful applicants will be required to complete a pre-employment medical questionnaire. Any offer of employment will be conditional on the result of this medical examination meeting the specific requirements for the role.

Applicants will never be asked to complete a health questionnaire prior to making them a conditional or unconditional job offer.

## 8 References

At least two references covering the last 5 years of employment

All successful candidates are asked to give their consent for the Authority to obtain at least two written references (covering the last 5 years of employment) and to provide proof of qualifications. Any offer of employment will be conditional on these requirements being satisfactory.

## 9 Right to Work Checks

The Authority only recruits individuals with a legal right to work in the UK. All offers of employment will be subject to the candidate providing the required original documents or the Authority being able to carry out a check on the Home Office online [right to work checking service](#) confirming their right to do the work in question.

The requirement to provide evidence of the right to work in the UK applies to all new recruits, regardless of their race, nationality or ethnic or national origins.

An offer of employment is also conditional on DBS clearance if applicable to the role.

## 10 Responsibilities

When recruiting, managers are required to follow the Authority's Recruitment Policy and procedure.

Managers must also ensure that all employees are able to readily access copies of the Recruitment Policy and procedure, when the employee does not have access to the Authority's intranet.

The Senior Management Team are accountable for ensuring that this policy is implemented across the Authority, ensuring it is communicated and understood, translated into practice and enforcing its contents.

The Human Resources Team are responsible for implementing this policy across the Authority.

## **11 Legal Considerations**

The primary legislation that influences this policy is the Employment Act 2008 and the **Equality Act 2010**.

## **12 Relevant Policy & Procedures**

This policy operates in conjunction with the following policies, procedures and statements:

- Equality, Diversity & Inclusion Policy
- Recruitment Procedure

## **13 Monitoring & Evaluation**

The policy will be monitored and evaluated on effectiveness periodically.

## **14 Review**

This policy will be reviewed in light of any new legislation/regulation or every five years, whichever is the earlier.

## **RISK REGISTER 2022/23**

Presented by the Corporate Director

### **EXECUTIVE SUMMARY**

At each Audit Committee Members review the Risk Register for progress against existing actions and to ensure that the Risk Register remains relevant to deal with the corporate risks facing the organisation.

The Executive Committee are requested to note the contents of the Risk Register and associated paper presented at a meeting of the Audit Committee held on 22 September 2022 (Paper AUD/129/22) and an oral update will be given at the Executive Committee.

### **RECOMMENDATION**

Members note: (1) the Corporate Risk Register included at Appendix A to Paper AUD/129/22.

### **BACKGROUND**

- 1 Risk management is one of the key internal controls for an organisation. Members need to ensure that a sound system of internal control is maintained and an annual review of the effectiveness of the system of internal control is conducted to provide sufficient, relevant and reliable assurance to enable them to authorise the signing of the Authority's Annual Governance Statement (which is published with the financial statements).
- 2 The Corporate Risk Register has been revised for strategy, format and content. The strategy has been revised and updated twice since 2005 at the Audit Committee (May 2010, Paper AUD/06/10 and June 2012 Paper AUD/30/12) and was reviewed by officers and Members as part of a Risk Management Workshop and was formally approved by the Audit Committee in June 2018 (Paper AUD/90/18). Subsequent to this Workshop, a further Workshop was held in March 2022 and an invitation to attend was extended to all Members and the strategy, format and content was reviewed again and was formally approved by the Audit Committee in June 2022 (Paper AUD/126/22).
- 3 As part of the process it was noted that it will be the responsibility of the Audit Committee as per its terms of reference to continue to monitor and review the

Authority's risk management policies and procedures which include review of the Authority Corporate Risk Register (and any sub-Risk Registers) at their programmed meetings. On completion of the meeting, the Audit Committee will approve the Corporate Risk Register and present this to the Executive Committee highlighting any changes or areas of medium to high risk that are of concern.

## **CORPORATE RISK REGISTER**

- 4 The Audit Committee considered the Corporate Risk Register at a meeting on 22 September 2022 (Paper AUD/129/22 – see Annex A to this report) and an oral update will be given at the Executive Committee.
- 5 Any environmental, financial, human resource, legal and risk management implications are covered in paper AUD/129/22 attached as Annex A to this report.

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Author: Vince Donaldson 01992 709 816, [vdonaldson@leevalleypark.org.uk](mailto:vdonaldson@leevalleypark.org.uk)


## **PREVIOUS COMMITTEE REPORTS**

Audit Committee	AUD/126/22	Risk Register 2021/22	23 June 2022
Audit Committee	AUD/124/22	Risk Register 2021/22	24 February 2022
Audit Committee	AUD/123/21	Risk Register 2021/22	23 September 2021
Audit Committee	AUD/118/21	Risk Register 2020/21	24 June 2021
Audit Committee	AUD/116/21	Risk Register 2020/21	25 February 2021
Audit Committee	AUD/113/20	Risk Register 2020/21	22 October 2020
Audit Committee	AUD/111/20	Risk Register 2020/21	25 June 2020
Executive Committee	E/674/20	Emergency Budget 2020/21	21 May 2020
Audit Committee	AUD/106/20	Risk Register 2019/20	27 February 2020
Audit Committee	AUD/104/19	Risk Register 2019/20	19 September 2019
Audit Committee	AUD/101/19	Risk Register 2019/20	20 June 2019
Audit Committee	AUD/97/19	Risk Register 2018/19	14 February 2019
Audit Risk Workshop			07 June 2018

## **ANNEX ATTACHED**

Annex A                      Paper AUD/129/22



 <p><b>LEE VALLEY REGIONAL PARK AUTHORITY</b></p> <p><b>AUDIT COMMITTEE</b></p> <p><b>22 SEPTEMBER 2022 AT 13:30</b></p>	<p><b><u>Agenda Item No:</u></b></p> <p><b><u>Report No:</u></b></p> <p><b>AUD/129/22</b></p>
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## **RISK REGISTER 2022/23**

Presented by the Corporate Director (S&L)

### **SUMMARY**

At each Audit Committee Members review the Risk Register for progress against existing actions and to ensure that the Risk Register remains relevant to deal with the corporate risks facing the organisation.

At the Audit Committee in June 2022 (Paper AUD/126/22) Members approved the updated risk management strategy and corporate risk register following the Risk Management Workshop held on 22 March 2022. This Workshop analysed and reviewed the risk management strategy and corporate risk register in detail to ensure that this committee could proactively input into, manage and monitor the register going forward, with up to date risks identified that are relevant to the Authority's business over the coming years. This included some minor changes which were made to ensure that the Authority Chair and Executive Committee are part of the approval process.

The risk management strategy and corporate risk register assists Members in their consideration and approval of the Annual Governance Statement as a key part of the financial statements. A robust risk management framework and register is one key element of the Annual Governance Statement and a source of assurance for Members in approving this statement year on year as part of the published accounts.

### **RECOMMENDATION**

Members Approve (1) the Corporate Risk Register included at Appendix A to this report.

### **BACKGROUND**

1 Risk management is one of the key internal controls for an organisation. Members need to ensure that a sound system of internal control is maintained and an annual review of the effectiveness of the system of internal control is conducted to provide sufficient, relevant and reliable assurance to enable them to authorise the signing of the Authority's Annual Governance Statement (which is published with the financial statements).

2 Regulation 3 of the Accounts and Audit Regulations 2015 requires that:

**“A relevant authority must ensure that it has a sound system of internal control which:**

- **facilitates the effective exercise of its functions and the achievement of its aims and objectives;**
- **ensures that the financial and operational management of the authority is effective; and**
- **includes effective arrangements for the management of risk.”**

**In this context “relevant authority” is referring to Lee Valley Regional Park Authority.**

**3 Each financial year the relevant authority must:**

- **conduct a review of the effectiveness of the system of internal control required by regulation 3; and**
- **prepare an Annual Governance Statement - this statement must be published together with the statement of accounts and the narrative statement in accordance with regulation 10.**

**4 Assurance of the Authority’s internal control system is derived through the work of the internal audit function (undertaken by Mazars for the Authority); and also through the monitoring of processes put in place by management and other external bodies including those around risk management and health & safety. This provides evidence which allows the Authority to form conclusions on the adequacy and effectiveness of the systems of internal control and also on the efficiency of operations.**

**5 Risk management is not solely a focus on the finances of the Authority. The scope of internal control spans the whole range of the Authority’s activities and includes those controls designed to ensure:**

- **the Authority’s policies are put into practice;**
- **the organisation’s values are met;**
- **laws and regulations are complied with;**
- **required processes are adhered to;**
- **financial statements and other published information is accurate and reliable; and**
- **human, financial and other resources are managed efficiently and effectively.**

**6 The Authority approved a Risk Management Framework in April 2005 (Paper A/3798/05). The Risk Management Framework and more specifically, the Risk Register, was developed by Members and senior officers under the guidance of the internal auditors through a number of workshops and meetings. Members have regularly reviewed the register at each Audit Committee, adding in their own comments and improvements.**

**7 Since this time Members have consistently (and in depth) reviewed the Corporate Risk Register and revised the strategy, format, and content. The strategy has been revised and updated twice since 2005 at the Audit Committee (May 2010, Paper AUD/06/10 and June 2012 Paper AUD/30/12). The strategy was reviewed by officers and Members as part of a Risk Management Workshop and was formally approved by the Audit Committee in June 2018 (Paper AUD/90/18). Subsequent to this workshop, a further workshop was held in March 2022 and an invitation to attend was extended to all Members and the**

strategy, format and content was reviewed again and was formally approved by the Audit Committee in Jun 2022 (Paper AUD/126/22).

**REVIEW OF THE STRATEGIC RISK REGISTER**

- 8 The current Strategic Risk Register is reviewed by officers and Members on an ongoing basis and signed off at each Audit Committee.
- 9 Members last considered the risk register at the Audit Committee in June 2022 (Paper AUD/126/22).
- 10 Since the June Committee, officers have incorporated approved Member revisions, reviewed the register, considered and added potential new risks and updated the scoring. The two sub risk registers (LSC Contract Retender and Covid-19 Pandemic) have been closed with the remaining risks subsumed within the Corporate Risk Register.

The table below sets out the movement in managing the residual risks and sets out a summary of the total notional score.

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Risk	Residual Risks 25 February 2021	Residual Risks 24 June 2021	Residual Risks 23 September 2021	Residual Risks 24 February 2022	Residual Risks 24 June 2022	Residual Risks 22 September 2022
	4	3	2	0	0	1
	10	10	12	15	18	21
	8	9	9	8	8	10
<b>Total Risks</b>	22	22	23	23	26	32
<b>Notional Score</b>	602	566	547	512	591	759

- 12 The key point to note since the last review of the Authority Strategic Risk Register is the overall increase in the corporate risk register residual notional score. This is due to the addition of the risks previously sitting within the sub-Risk Registers. Several of the original inherent risks have shown a reduction and additional risks that had been added to the risk register as a result of the Covid-19 situation have been reduced.
- 13 Energy prices continue to rise, which will increase risk around utility costs. The Authority purchases utilities through Laser, a consortium managed by Kent County Council, which purchases from the wholesale market and ensures public sector customers achieve best value. Whilst the Authority is not a big consumer of gas and electricity, it has a shared risk position for utility pricing at the Leisure Services Contract (LSC) venues (for the first 2 years only), with Greenwich Leisure Limited (GLL) taking the risk for utility consumption for the entirety of the contract. In line with our signed contracts for accessing the 2020-2024 Laser framework, our initial contract period was secured with fixed prices. We agreed to this fixed cost for 24 months, so the market price movements of wholesale electricity and gas prices will only affect us from October 2022. Officers from both the Authority and GLL are liaising with Laser as to what the utility unit costs will be from October, although we are still awaiting a central government announcement on the level of direct support to businesses to help with the significant increases.

- 14 Decisions taken to mitigate these risks will be approved by full Authority and monitoring of these risks is taking place at Executive Committee, along with the Senior Management Team and Heads of Service level.
- 15 As a further safeguard, Risk Management has been audited by Mazars, with a Member discussion included as part of the process. The result of the audit will form part of the annual review produced by Mazars, but any recommendation that will improve the management of risks will be immediately actioned.
- 16 A verbal update will be presented at the meeting to advise Members regarding the changes to the register which are in red font to indicate changes since the last Audit Committee risk register paper.

#### **ENVIRONMENTAL IMPLICATIONS**

- 17 There are no environmental implications arising directly from the recommendations in this report.

#### **EQUALITY IMPLICATIONS**

- 18 There are no equality implications arising directly from the recommendations in this report.

#### **FINANCIAL IMPLICATIONS**

- 19 Revision of the Strategic Risk Register is a key element of this Authority's system of internal control that contributes to safeguarding the assets of the Authority and its reputation for sound financial management of public funds. This is reflected in the Authority's Annual Governance Statement published within the annual accounts and approved by this Committee.
- 20 Where actions require additional resources these will be identified and approved through the normal budget setting/service planning and management processes in accordance with Financial Regulations.
- 21 Utility costs are a significant risk that will have a material impact on the Authority's revenue outturn position. Officers will report the anticipated impact to Members in the Q2 revenue monitoring report by which time the new unit rates from Laser will be known and updates on government support should be announced.

#### **HUMAN RESOURCE IMPLICATIONS**

- 22 The additional human resource implications arising directly from this report have been outlined within the risk register and sub risk register actions and can be met from existing employee resources.

#### **LEGAL IMPLICATIONS**

- 23 There are no legal implications arising directly from the recommendations in this report.

#### **RISK MANAGEMENT IMPLICATIONS**

- 24 These are dealt with through the main body of the report and through the revised register. The Ice Centre redevelopment; the Picketts Lock

development; the Leisure Services Contract and the Land & Property Strategy are recognised as the highest corporate risks facing the organisation at present. Continuing mitigation against these identified risks is demonstrated by the proposed actions in the Strategic Risk Register as set out in Appendix A to this report and primarily through implementing and delivering a Corporate Work Programme for 2022/23 followed by the revised approved Business Plan and Business Plan Objective list. In addition, the Authority will review the National Risk Register (2020) to consider any relevant implications that could impact on the business of the Authority as a whole.

Author: Vince Donaldson, 01992 709 816, vdonaldson@leevalleypark.org.uk

## **BACKGROUND REPORTS**

Lee Valley Regional Park Authority Risk Management Strategy June 2018

## **PREVIOUS COMMITTEE REPORTS**

Audit Committee	AUD/126/22	Risk Register 2021/22	23 June 2022
Risk Management			24 March 2022
Workshop			
Audit Committee	AUD/124/22	Risk Register 2021/22	24 February 2022
Audit Committee	AUD/123/21	Risk Register 2021/22	23 September 2021
Audit Committee	AUD/118/21	Risk Register 2020/21	24 June 2021
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Audit Committee	AUD/97/19	Risk Register 2018/19	14 February 2019
Audit Risk Workshop			07 June 2018

## **APPENDICES ATTACHED**

Appendix A	2021/22 Corporate Risk Register – Authority
Appendix B	Risk Scoring Criteria (extract from the approved risk management strategy (June 2022)).

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STRATEGIC RISK REGISTER AS AT 22 SEPTEMBER 2022

Strategic Risk	Impact	Probability	Frequency	Current Status	Responsible Party	Key Dates	Current Status	Frequency	Impact	Probability	Frequency	Current Status	Responsible Party	Key Dates	Current Status	Frequency	Impact	Probability	Frequency
SR2.1 Failure to comply with the 2022 Part 6 Act and other statutory requirements.	High	High	High	High	Part 6 Act	31/03/2022	High	High	High	High	High	High	Part 6 Act	31/03/2022	High	High	High	High	High
SR2.2 Failure to comply with Health & Safety legislation	High	High	High	High	Health & Safety	31/03/2022	High	High	High	High	High	High	Health & Safety	31/03/2022	High	High	High	High	High
SR2.3 Failure to accept a partner's financial terms and conditions that will place an unacceptable long term liability on the Authority	High	High	High	High	Partners	31/03/2022	High	High	High	High	High	High	Partners	31/03/2022	High	High	High	High	High
SR2.4 Contractor ability affected by external influences or unforeseen conditions prevailing at the time	High	High	High	High	Contractors	31/03/2022	High	High	High	High	High	High	Contractors	31/03/2022	High	High	High	High	High
SR2.5 Insufficient competition tendering for contracts	High	High	High	High	Contracts	31/03/2022	High	High	High	High	High	High	Contracts	31/03/2022	High	High	High	High	High
SR2.6 Failure to report or other failure to one or more of the Authority's contractors to deliver as required by contract.	High	High	High	High	Contractors	31/03/2022	High	High	High	High	High	High	Contractors	31/03/2022	High	High	High	High	High
SR2.7 Failure of a contractor to deliver as required by contract.	High	High	High	High	Contractors	31/03/2022	High	High	High	High	High	High	Contractors	31/03/2022	High	High	High	High	High





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Risk ID	Risk Description	Strategic Area	Impact	Priority	Current Rating	Target Rating	Key Indicators	Current Status	Responsible Party	Review Date	Reporting Period	Notes
SR1.1	Failure of GIL to achieve 50% of Income target in Year 4, resulting in re-rating in Year 2 RFR	Finance	High	6	6	5	Quarterly Performance Reporting	On Track	CEO	31/03/2022	Half	Quarterly meeting with GIL. Quarterly Performance Reporting. GIL is on track to achieve 50% of income target in Year 4. No re-rating in Year 2 RFR.
SR1.2	Lack of a clear corporate direction	Business	Medium	7	7	6	Business Plan 2021-24	On Track	CEO	31/03/2022	Half	Business Plan 2021-24. Clear corporate direction. Business Plan 2021-24. Business Plan 2021-24. Business Plan 2021-24.
SR2.1	Failure to meet the Authority's targets to raise the level of customer service and reduce the number of complaints	Customer	Medium	7	7	6	Customer Service Strategy	On Track	CEO	31/03/2022	Half	Customer Service Strategy. Failure to meet the Authority's targets to raise the level of customer service and reduce the number of complaints.
SR3.1	Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints	Customer	Medium	7	7	6	Customer Service Strategy	On Track	CEO	31/03/2022	Half	Customer Service Strategy. Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints.
SR4.1	Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints	Customer	Medium	7	7	6	Customer Service Strategy	On Track	CEO	31/03/2022	Half	Customer Service Strategy. Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints.
SR5.1	Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints	Customer	Medium	7	7	6	Customer Service Strategy	On Track	CEO	31/03/2022	Half	Customer Service Strategy. Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints.
SR6.1	Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints	Customer	Medium	7	7	6	Customer Service Strategy	On Track	CEO	31/03/2022	Half	Customer Service Strategy. Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints.
SR7.1	Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints	Customer	Medium	7	7	6	Customer Service Strategy	On Track	CEO	31/03/2022	Half	Customer Service Strategy. Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints.
SR8.1	Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints	Customer	Medium	7	7	6	Customer Service Strategy	On Track	CEO	31/03/2022	Half	Customer Service Strategy. Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints.
SR9.1	Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints	Customer	Medium	7	7	6	Customer Service Strategy	On Track	CEO	31/03/2022	Half	Customer Service Strategy. Failure to meet the Authority's targets to improve the level of customer service and reduce the number of complaints.

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Item	Area	Strategic Objective	Strategic Risk	Impact	Probability	Current Status	Responsible Party	Key Actions	Timeline	Dependencies	Notes
18.1	18.1	18.1	18.1	18.1	18.1	18.1	18.1	18.1	18.1	18.1	18.1
18.2	18.2	18.2	18.2	18.2	18.2	18.2	18.2	18.2	18.2	18.2	18.2
18.3	18.3	18.3	18.3	18.3	18.3	18.3	18.3	18.3	18.3	18.3	18.3
18.4	18.4	18.4	18.4	18.4	18.4	18.4	18.4	18.4	18.4	18.4	18.4
18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5	18.5
18.6	18.6	18.6	18.6	18.6	18.6	18.6	18.6	18.6	18.6	18.6	18.6
18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7	18.7
18.8	18.8	18.8	18.8	18.8	18.8	18.8	18.8	18.8	18.8	18.8	18.8
18.9	18.9	18.9	18.9	18.9	18.9	18.9	18.9	18.9	18.9	18.9	18.9
18.10	18.10	18.10	18.10	18.10	18.10	18.10	18.10	18.10	18.10	18.10	18.10
18.11	18.11	18.11	18.11	18.11	18.11	18.11	18.11	18.11	18.11	18.11	18.11
18.12	18.12	18.12	18.12	18.12	18.12	18.12	18.12	18.12	18.12	18.12	18.12
18.13	18.13	18.13	18.13	18.13	18.13	18.13	18.13	18.13	18.13	18.13	18.13
18.14	18.14	18.14	18.14	18.14	18.14	18.14	18.14	18.14	18.14	18.14	18.14
18.15	18.15	18.15	18.15	18.15	18.15	18.15	18.15	18.15	18.15	18.15	18.15
18.16	18.16	18.16	18.16	18.16	18.16	18.16	18.16	18.16	18.16	18.16	18.16
18.17	18.17	18.17	18.17	18.17	18.17	18.17	18.17	18.17	18.17	18.17	18.17
18.18	18.18	18.18	18.18	18.18	18.18	18.18	18.18	18.18	18.18	18.18	18.18
18.19	18.19	18.19	18.19	18.19	18.19	18.19	18.19	18.19	18.19	18.19	18.19
18.20	18.20	18.20	18.20	18.20	18.20	18.20	18.20	18.20	18.20	18.20	18.20
18.21	18.21	18.21	18.21	18.21	18.21	18.21	18.21	18.21	18.21	18.21	18.21
18.22	18.22	18.22	18.22	18.22	18.22	18.22	18.22	18.22	18.22	18.22	18.22
18.23	18.23	18.23	18.23	18.23	18.23	18.23	18.23	18.23	18.23	18.23	18.23
18.24	18.24	18.24	18.24	18.24	18.24	18.24	18.24	18.24	18.24	18.24	18.24
18.25	18.25	18.25	18.25	18.25	18.25	18.25	18.25	18.25	18.25	18.25	18.25
18.26	18.26	18.26	18.26	18.26	18.26	18.26	18.26	18.26	18.26	18.26	18.26
18.27	18.27	18.27	18.27	18.27	18.27	18.27	18.27	18.27	18.27	18.27	18.27
18.28	18.28	18.28	18.28	18.28	18.28	18.28	18.28	18.28	18.28	18.28	18.28
18.29	18.29	18.29	18.29	18.29	18.29	18.29	18.29	18.29	18.29	18.29	18.29
18.30	18.30	18.30	18.30	18.30	18.30	18.30	18.30	18.30	18.30	18.30	18.30
18.31	18.31	18.31	18.31	18.31	18.31	18.31	18.31	18.31	18.31	18.31	18.31
18.32	18.32	18.32	18.32	18.32	18.32	18.32	18.32	18.32	18.32	18.32	18.32
18.33	18.33	18.33	18.33	18.33	18.33	18.33	18.33	18.33	18.33	18.33	18.33
18.34	18.34	18.34	18.34	18.34	18.34	18.34	18.34	18.34	18.34	18.34	18.34
18.35	18.35	18.35	18.35	18.35	18.35	18.35	18.35	18.35	18.35	18.35	18.35
18.36	18.36	18.36	18.36	18.36	18.36	18.36	18.36	18.36	18.36	18.36	18.36
18.37	18.37	18.37	18.37	18.37	18.37	18.37	18.37	18.37	18.37	18.37	18.37
18.38	18.38	18.38	18.38	18.38	18.38	18.38	18.38	18.38	18.38	18.38	18.38
18.39	18.39	18.39	18.39	18.39	18.39	18.39	18.39	18.39	18.39	18.39	18.39
18.40	18.40	18.40	18.40	18.40	18.40	18.40	18.40	18.40	18.40	18.40	18.40
18.41	18.41	18.41	18.41	18.41	18.41	18.41	18.41	18.41	18.41	18.41	18.41
18.42	18.42	18.42	18.42	18.42	18.42	18.42	18.42	18.42	18.42	18.42	18.42
18.43	18.43	18.43	18.43	18.43	18.43	18.43	18.43	18.43	18.43	18.43	18.43
18.44	18.44	18.44	18.44	18.44	18.44	18.44	18.44	18.44	18.44	18.44	18.44
18.45	18.45	18.45	18.45	18.45	18.45	18.45	18.45	18.45	18.45	18.45	18.45
18.46	18.46	18.46	18.46	18.46	18.46	18.46	18.46	18.46	18.46	18.46	18.46
18.47	18.47	18.47	18.47	18.47	18.47	18.47	18.47	18.47	18.47	18.47	18.47
18.48	18.48	18.48	18.48	18.48	18.48	18.48	18.48	18.48	18.48	18.48	18.48
18.49	18.49	18.49	18.49	18.49	18.49	18.49	18.49	18.49	18.49	18.49	18.49
18.50	18.50	18.50	18.50	18.50	18.50	18.50	18.50	18.50	18.50	18.50	18.50

## Risk Appetite

Risks are currently assessed using a 1-9 scale for both impact and likelihood. The Authority's risk appetite is then defined using the scoring matrix below.

Impact	9	9	18	27	36	45	54	63	72	81
	8	8	16	24	32	40	48	56	64	72
	7	7	14	21	28	35	42	49	56	63
	6	6	12	18	24	30	36	42	48	54
	5	5	10	15	20	25	30	35	40	45
	4	4	8	12	16	20	24	28	32	36
	3	3	6	9	12	15	18	21	24	27
	2	2	4	6	8	10	12	14	16	18
	1	1	2	3	4	5	6	7	8	9
		1	2	3	4	5	6	7	8	9
		Likelihood								

Those risks with a residual score in the green zone are generally considered to be managed to an acceptable level and hence limited or no further actions would be expected.

For those risks with a residual score in the amber zone, the exposure is considered to be partially acceptable. Further actions would be needed to lower this into the green zone, although a decision has to be made as to whether this is cost effective, given that resources are constrained.

Those risks with a residual score in the red zone are considered to have an exposure that is at an unacceptable level and hence further actions are needed to lower this.

On some occasions a decision may be made to accept a higher level of residual risk, although this will be subject to ongoing review and consideration at both Senior Management Team and Member level.

## Scoring Criteria

Each risk is scored on the basis of the following criteria for impact and likelihood, both for inherent and residual risk. Whilst the assessment remains subjective, these criteria serve as a guide and are used to help ensure consistency in scoring across each of the risks identified.

	<b>Impact</b>	<b>Likelihood</b>
1	No impact	<1% likely to occur in next 12 months
2	Financial loss up to £1,000 or no impact outside single objective or no adverse publicity	1%-5% likely to occur in next 12 months
3	Financial loss between £1,000 and £10,000 or no impact outside single objective or no adverse publicity	5%-10% likely to occur in next 12 months
4	Financial loss between £10,000 and £25,000 or minor regulatory consequence or some impact on other objectives	10%-20% likely to occur in next 12 months
5	Financial loss between £25,000 and £50,000 or impact on other objectives or local adverse publicity or strong regulatory criticism	20%-30% likely to occur in next 12 months
6	Financial loss between £50,000 to £250,000 or impact on many other processes or local adverse publicity or regulatory sanctions (such as intervention, public interest reports)	30%-40% likely to occur in next 12 months
7	Financial loss between £250,000 to 500,000 or impact on strategic level objectives or national adverse publicity or strong regulatory sanctions	40%-60% likely to occur in next 12 months
8	Financial loss between £500,000 to £1 million or impact at strategic level or national adverse publicity or Central Government take over administration	60%-80% likely to occur in next 12 months
9	Financial loss above £1 million or major impact at strategic level or closure/transfer of business	>80% likely to occur in next 12 months