

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, 22 SEPTEMBER 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 21 July 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 **Q1 REVENUE BUDGET MONITORING 2022/23**

Paper E/774/22

Presented by Keith Kellard, Head of Finance

- 6 **Q1 CAPITAL PROGRAMME BUDGET MONITORING 2022/23** Paper E/775/22

Presented by Keith Kellard, Head of Finance

- 7 **BUSINESS CONTINUITY POLICY** Paper E/773/22

Presented by Dan Buck, Corporate Director

- 8 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.

- 9 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.

**AGENDA  
Part II  
(Exempt Items)**

- 10 **HEALTH AND SAFETY CONTRACT** Paper E/777/22

Presented by Dan Buck, Corporate Director

Not for publication following the principles of the Local Government Act 1972, Schedule 12A, Part I, Section 3

- 11 **PROPOSED NEW LEASE OF EXISTING TELECOMS INSTALLATION OFF ROYDON ROAD, STANSTEAD ABBOTTS AND GRANT OF WAYLEAVE** Paper E/776/22

Presented by Beryl Foster, Deputy Chief Executive

Not for publication following the principles of the Local Government Act 1972, Schedule 12A, Part I, Section 3

- 12 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.

14 September 2022

Shaun Dawson  
Chief Executive

**LEE VALLEY REGIONAL PARK AUTHORITY**

**EXECUTIVE COMMITTEE**

**21 JULY 2022**

Members  
in remote presence: Paul Osborn (Chairman) Heather Johnson  
David Andrews (Vice Chairman) Chris Kennedy  
Susan Barker Graham McAndrew

Apologies received from: Mary Sartin, Ross Houston

In remote attendance: John Bevan, David Gardner, Dilip Patel

Officers  
in remote presence: Shaun Dawson - Chief Executive  
Beryl Foster - Deputy Chief Executive  
Dan Buck - Corporate Director  
Jon Carney - Corporate Director  
Keith Kellard - Head of Finance  
Marigold Wilberforce - Head of Property  
Sandra Bertschin - Committee & Members' Services Manager

Also in remote presence: James Newman – S151 Officer (London Borough of Enfield)

**Part I**

**170 DECLARATIONS OF INTEREST**

There were no declarations of interest.

**171 MINUTES OF LAST MEETING**

**THAT the minutes of the meeting held on 23 June 2022 be approved and signed.**

**172 PUBLIC SPEAKING**

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

**173 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>
7	Variation of the Leisure Services Contract and Grant of Lee Valley Ice Centre Lease to Greenwich Leisure Limited	3

Heather Johnson joined the meeting during discussion of the next agenda item.

174 VARIATION OF THE LEISURE SERVICES CONTRACT AND  
GRANT OF LEE VALLEY ICE CENTRE LEASE TO  
GREENWICH LEISURE LIMITED

Paper E/772/22

TABLED – amended lease plan (Appendix A)

The report was introduced by the Deputy Chief Executive, including:

- amendment of recommendation 2 to enable further amendment if necessary of the lease plan as building works were not yet complete; and
- additional recommendation in relation to the final form of the Deed of Variation.

The Head of Property highlighted the main changes to the tabled amended lease plan.

- (1) **granting of lease as per the key terms set out in paragraphs 6 to 10 of Paper E/772/22 and the boundary lease plan as shown at Appendix A to Paper E/772/22;**
- (2) **delegation to the Deputy Chief Executive to make any non-material changes including any necessary amendments to the lease plan;**
- (3) **application be made to the Secretary of State for consent to enter into the lease;**
- (4) **the signing and sealing of all lease documentation as necessary;**
- (5) **delegation to the Deputy Chief Executive to agree the final form of the Deed of Variation; and**
- (6) **the signing and sealing of the Deed of Variation of the Leisure Services Contract as set out in the body of Paper E/772/22 was approved.**

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Chairman

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Date

The meeting started at 10.32am and ended at 10.47am

**Q1 REVENUE BUDGET MONITORING 2022/23**

Presented by the Head of Finance

**EXECUTIVE SUMMARY**

This report summarises monitoring of revenue expenditure to June 2022. It compares actual income and expenditure to the approved budget. It also provides a projection indicating the likely out-turn position against the annual budget for the year ending 31 March 2023. The overall net operational expenditure at the year-end is expected to be an estimated £396,000 over the approved budget for 2022/23. However, there is still uncertainty over the months ahead so this end of year of estimate needs to be treated with caution. The major variations currently projected are summarised in the table below, along with two notable areas of uncertainty, which could increase the overspend significantly.

<b>Service Description</b>	<b>Annual Net Budget £000s</b>	<b>Projected Net Outturn £000s</b>	<b>Final Projected Variance £000s</b>
Events (inc. Commonwealth Games)	31	(229)	(260)
Legal	417	611	194
Property	(1,142)	(1,261)	(119)
Leisure Services Contract	2,681	2,784	103
Parklands and Open Spaces	2,605	2,593	(12)
Small Venues	(798)	(782)	16
Caravan Sales	(207)	(50)	157
Other	4,531	4,595	64
Financing	1,787	1,775	(12)
<b>Sub Total Estimated Over Spend</b>	<b>137</b>	<b>268</b>	<b>131</b>
<b>Additional Budget Uncertainties</b>			
Pay rise – above budget	0	165	165
Additional inflation costs	0	100	100
<b>FORECAST OUTTURN</b>	<b>137</b>	<b>533</b>	<b>396</b>

## 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 £396,000 against the net revenue budget deficit of £137,000. The net deficit for the year is forecast as £533,000.
- 4 Where significant over/under spends are projected at the year-end for particular services a brief explanation is provided below.

## GENERAL ECONOMIC FACTORS

- 5 Certain financial and economic factors continue to impact on the budget during 2022/23 and will continue into future financial years, these are summarised in the following paragraphs. Officers will monitor closely developments that may have a direct impact on the Authority's budget.
- 6 Continued uncertainty in the banking sector has had an impact on investment returns and certainty around where investments are deposited. The Authority had significantly adjusted its base level of investment income downwards and this formed part of the budget setting process for 2022/23. The 2022/23 target rate of return agreed by Members as part of the Annual Report on Treasury Management was 0.5% (Paper E/765/22), although with the increase in the Bank of England base rate, currently 1.75% as at August 2022, the forecast return will exceed this.

The Head of Finance continues to monitor the Authority's cash/investments and the institutions that they are invested in and will keep Members updated on any variances in this position through quarterly monitoring reports in 2022/23.

### 7 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 above 13% 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 August 2022). The next MPC meeting is scheduled for 22 September where there will be a decision on whether to further increase the base rate.

This high inflation is expected to impact the Authority through increased costs as suppliers raise prices and reduced customer spending as disposable income is squeezed. Where these can be forecast with some certainty they have been built into the outturn, but the additional £100,000 budget uncertainty figure reflects a current estimate of how much extra this may cost.

## 8 Energy Costs

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, with an annual budget of £130,000, 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 Ltd (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 not affect us until October 2022, when we will join the flexible basket arrangement in line with our agreement. This was considered as part of the budget process and a contingency budget of £310,000 for LSC venues has been included.

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 whether there will be any direct support to businesses to help with the significant increases.

## 9 Pay Award

In June 2022 the 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. We have used this to forecast an average 5% increase across the workforce. 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 £165,000.

## 10 VAT Claim on Sporting Income

There is still a possibility that the Authority will benefit from a VAT reduction that could be applied to local authority historic sporting income. The Authority's VAT consultants have been using a lead case in respect of non-business treatment and considered the impact of reclaiming VAT on the protective VAT claims previously lodged with HMRC. It is believed there is merit in seeking a repayment of the VAT on the basis that this is non-business income (this is a reclaim of VAT for the Authority business pre 2015 with no implications or impact on the Lee Valley Leisure Trust Ltd (the Trust) activity/VAT). The value of the potential VAT repayment could result in a payment for the Authority. Officers have submitted calculations to KPMG for review and they have submitted a claim and appeal to HMRC.

The First Tier Tribunal (FTT) found in favour of the local authorities, although this was subsequently appealed by HMRC. The lead case was heard by the Upper Tribunal (UT) in March 2022, and at this hearing the UT dismissed HMRC's appeal. HMRC have now accepted this decision.

However, following this there is still a further issue regarding whether "non-

taxation would not give rise to significant distortions of competition" before a claim for reimbursement can be made. The UT heard an appeal by HRMC against the decision by FTT in regards to the associated Mid-Ulster case, which found in favour of HMRC and allowed the appeal to be remitted back to FTT.

We are awaiting further details from KPMG on how this will be taken forward.

## **OPERATIONS OVERVIEW**

- 11 The 2022/23 budget was set in the context of the ongoing recovery from the pandemic. Operations are generally returning to pre-Covid levels, however this risk will continue to be monitored and reported through the strategic risk register. Any future restrictions will have an impact on the forecasted outturn.

The main variances against this year's budget are described below.

## **CORPORATE SERVICES**

### **12 Legal Service (£194,000 deficit)**

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 and would result in a potential cost to the Authority if it were unsuccessful in defending the claim brought against it by the Trust. Additional expenditure on external legal support is required to defend the claim. Additional external support has also been required in relation to the new LSC and in dealing with other legal matters, in particular following the departure of the Locum Property Solicitor in March.

### **13 Property Management (£119,000 surplus)**

Additional rental income has been achieved across the Authority's commercial accommodation and countryside areas.

## **SPORT & LEISURE**

### **14 Events (£260,000 surplus)**

Lee Valley VeloPark hosted the track cycling events of the 2022 Commonwealth Games. This required exclusive hire of the venue for four weeks during July and August. The Authority received a net income from this hire which was not included in the budget. The management fee agreed with GLL reflects a loss of income during this period.

## **SMALL VENUES**

### **15 Campsites (£34,000 deficit)**

The campsites continue to recover from the impact of Covid restrictions, which led to a loss of business from European visitors, and reduction in visitors staying to visit and work in London. Edmonton Campsite has seen a particularly strong recovery this year after a slower recovery than the other campsites who benefited more from the staycation trend last year.

Members agreed investment into new glamping units at Sewardstone and Dobbs Weir in November 2021 (Paper E/743/21), and the additional income they are forecast to generate was built into the 2022/23 budget. Installation



has been delayed by a few months which has impacted this year's income. Units are available to book from late summer and are expected to achieve good occupancy rates all year round due to their self-contained nature.

#### **16 Caravan Sales (current £157,000 deficit against target)**

Caravan sales have always been difficult to include in the annual budget as the Authority has little control over the number of potential sales, only becoming possible where a customer wishes to leave a campsite and sell their caravan (retained on the vacant pitch), or purchase a new caravan. For 2022/23 they were included as a contingency budget, to reflect that income is expected. The current forecast is prudent, based on only the sales that have already been completed or where the process has begun. This forecast should improve in each monitoring report as opportunities for further sales are confirmed.

#### **LEISURE SERVICES CONTRACT (£103,000 deficit)**

- 17 The LSC commenced on 1 April 2022, with the transfer of operation of the six major sporting venues to GLL. In the first two years of the contract the Authority will make a management fee payment to GLL. From year three onwards, this becomes a payment to the Authority.

In addition to the management fee there will be some additional expenditure in the first year. The Authority has picked up costs for some repair and maintenance work which wasn't possible to complete prior to commencement of the LSC, notably repairs to the pumps at Lee Valley White Water Centre. Due to a delay in the transfer of the venues to GLL's own booking system there is a cost for the short term extension of the software licence for Clarity which was the Authority's booking system to continue to manage venue bookings and payments.

Investment projects at the venues that were scheduled to be completed during 2022/23 have been budgeted to increase income and achieve cost savings. These include the meeting room development at Lee Valley White Water Centre and LED lighting at Lee Valley VeloPark. Due to planning delays with the Lee Valley White Water project, the forecast for this year reflects a reduced period of achieving these savings.

The budget includes £310,000 contingency for the LSC for increased utility costs, and it is anticipated that this contingency will be fully spent.

#### **ENVIRONMENTAL IMPLICATIONS**

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

#### **EQUALITY IMPLICATIONS**

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

#### **FINANCIAL IMPLICATIONS**

- 20 These are dealt with in the body of the report. The forecast outturn will leave the general fund balance at £3.4 million at the end of March 2023. The approved level of £3-4million was agreed as part of the 2022/23 budget setting process.

**21 2023/24 Budget Planning**

Officers have started the process of budget planning for 2023/24, and revising the Medium Term Financial Plan. The budget for 2023/24, and outlook for future years, needs to address the impact on the Authority's reserves in 2022/23, the implications of higher inflation, and increased costs, and the need to review income across the Park's activities.

There will be a need to review both the Authority's cost and income base to reflect what it likely to be a difficult few years ahead.

Budget assumptions, objectives, and options will be developed over the next few months, with the Budget Methodology and Timetable, and Fees and Charges Policy to be brought to Members for review and approval in October.

**HUMAN RESOURCE IMPLICATIONS**

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

**LEGAL IMPLICATIONS**

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

**RISK MANAGEMENT IMPLICATIONS**

- 24 Spending of the budget is important in achieving the Authority's corporate objectives. The current net spend at the end of this financial year will impact on the Authority's budget in future years and will be incorporated into the Medium Term Financial Plan as part of the Budget Planning into 2023/24 and beyond.

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**PREVIOUS COMMITTEE REPORTS**

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

**APPENDIX ATTACHED**

Appendix A Details of the financial position of each Authority service or facility

**LIST OF ABBREVIATIONS**

LSC	Leisure Services Contract
GLL	Greenwich Leisure Limited

RPI	Retail Price Index
HMRC	HM Revenue and Customs
FTT	First Tier Tribunal
UT	Upper Tier Tribunal
NJC	National Joint Council
the Trust	Lee Valley Leisure Trust Ltd (trading as Vibrant Partnerships)
MPC	Bank of England Monetary Policy Committee

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## OPERATIONAL OUTTURN SUMMARY

## LEE VALLEY REGIONAL PARK AUTHORITY

YEAR 2022/23

PERIOD: 03 (June 2022)

	Actual To Date			Annual Net Budget	Proposed Net Outturn	Variance	
	Income	Expenditure	Net			£000s	%
<b>OPERATIONAL SERVICES</b>							
Chief Executive	(4)	167	163	682	723	41	6%
Corporate Services	(624)	443	(181)	(194)	(112)	82	42%
Finance and Support Services	(5)	410	405	2,366	2,385	19	1%
Sport and Leisure	(778)	233	(545)	983	722	(261)	(27%)
Parklands and Open Spaces	(241)	804	563	2,605	2,591	(14)	(1%)
Small Venues	(1,160)	770	(390)	(1,004)	(831)	173	17%
Leisure Services Contract	(5)	124	119	2,681	2,784	103	4%
	<b>(2,817)</b>	<b>2,951</b>	<b>134</b>	<b>8,119</b>	<b>8,262</b>	<b>143</b>	<b>2%</b>
<b>FINANCING</b>							
Interest Receivable	(4)	0	(4)	(8)	(20)	(12)	(150%)
Interest Payable & Bank Charges	0	1	1	56	56	0	0%
Contributions to/from Earmarked Reserves	0	0	0	1,000	1,000	0	0%
Financing of Capital Expenditure	0	0	0	290	290	0	0%
Minimum Revenue Provision	0	0	0	448	448	0	0%
Levies on Local Authorities	(2,442)	0	(2,442)	(9,768)	(9,768)	0	0%
s106 Expenditure/Income	0	1	1	0	0	0	0%
<b>Total before additional uncertainties</b>				<b>137</b>	<b>268</b>	<b>131</b>	<b>96%</b>
Additional employee pay rise	0	0	0	0	165		
Additional inflation costs	0	0	0	0	100		
<b>Movement in General Fund</b>				<b>137</b>	<b>533</b>	<b>396</b>	<b>289%</b>

**OPERATIONAL OUTFURN SUMMARY**

**LEE VALLEY REGIONAL PARK AUTHORITY**

**YEAR 2022/23**

**PERIOD: 03 (June 2022)**

	Actual To Date			Annual Net Budget	Proposed Net Outturn	Variance		
	Income	Expenditure	Net			£000s	%	
<b>CHIEF EXECUTIVE</b>								
Chief Executive	0	55	55	256	256	0	0%	
PR / Communications	(4)	112	108	426	467	41	10%	
<b>TOTAL CHIEF EXECUTIVE</b>	<b>(4)</b>	<b>167</b>	<b>163</b>	<b>682</b>	<b>723</b>	<b>41</b>	<b>6%</b>	
<b>CORPORATE SERVICES</b>								
Legal Service	(1)	199	197	417	611	194	47%	
Property Management	(623)	82	(540)	(1,142)	(1,261)	(119)	(10%)	
Planning and Strategic Partnerships	0	27	27	141	141	0	0%	
Asset Protection, Maintenance & Development	0	109	109	278	285	7	3%	
Committee Service	0	26	26	112	112	0	0%	
<b>TOTAL CORPORATE SERVICES</b>	<b>(624)</b>	<b>443</b>	<b>(181)</b>	<b>(194)</b>	<b>(112)</b>	<b>82</b>	<b>42%</b>	
<b>FINANCE AND SUPPORT SERVICES</b>								
Finance and Human Resources	0	235	235	618	639	21	3%	
Information Technology	(5)	114	109	710	708	(2)	(0%)	
Corporate Insurances	0	0	0	594	594	0	0%	
Audit / Health & Safety	0	25	25	219	219	0	0%	
Non Distributed Costs	0	11	11	69	69	0	0%	
Corporate Training / Apprenticeships	0	3	3	71	71	0	0%	
Project & Funding Delivery	0	22	22	85	85	0	0%	
<b>TOTAL FINANCIAL SERVICES</b>	<b>(5)</b>	<b>410</b>	<b>405</b>	<b>2,366</b>	<b>2,385</b>	<b>19</b>	<b>1%</b>	
<b>SPORT AND LEISURE</b>								
Events	(768)	38	(730)	31	(220)	(260)	(839%)	
Sports Development	(1)	16	15	123	120	(3)	(2%)	
Policy and Performance	0	144	144	601	600	(1)	(0%)	
Youth & Schools Service	(9)	32	23	148	151	3	2%	
Community Access	0	3	3	80	80	0	0%	
<b>TOTAL SPORT AND LEISURE</b>	<b>(778)</b>	<b>233</b>	<b>(545)</b>	<b>943</b>	<b>722</b>	<b>(261)</b>	<b>(27%)</b>	

## OPERATIONAL OUTTURN SUMMARY

## LEE VALLEY REGIONAL PARK AUTHORITY

YEAR 2022/23

PERIOD: 03 (June 2022)

	Actual To Date			Annual Net Budget	Proposed Net Outturn	Variance	
	Income	Expenditure	Net			£000s	%
<b>PARKLANDS AND OPEN SPACES</b>							
<b>Management</b>							
Operational Management	0	69	69	275	273	(2)	(1%)
Myddelton House Management	(6)	158	152	293	291	(2)	(1%)
<b>Parklands</b>							
River Lee Country Park	(7)	52	45	439	434	(5)	(1%)
Gunpowder Park	(5)	11	6	88	88	0	0%
Countryside Areas	(77)	203	126	1,055	1,087	(18)	(2%)
Abbey Gardens	(2)	12	10	94	93	(1)	(1%)
Three Mills	0	4	4	31	31	0	0%
East India Dock and Bow Creek	0	4	4	45	45	0	0%
Broxbourne Riverside	0	2	2	21	21	0	0%
Fisheries	(27)	1	(26)	(69)	(82)	(13)	(19%)
<b>Visitor Attractions</b>							
Myddelton House	(48)	80	31	183	189	6	3%
Rye House Gatehouse	0	0	0	5	5	0	0%
<b>Park Projects</b>							
Volunteers	0	9	9	42	42	0	0%
Biodiversity	0	25	25	106	106	0	0%
<b>Farms</b>							
Lee Valley Farm, Holyfieldhall	(65)	171	106	38	59	21	55%
<b>Initiatives and Partnerships</b>							
King George Reservoir South	(4)	3	0	(1)	(1)	0	0%
Lee Valley Boat Centre	0	0	0	(41)	(41)	0	0%
Broxbourne Chalets	0	0	0	1	1	0	0%
<b>TOTAL PARKLAND AND OPEN SPACES</b>	<b>(241)</b>	<b>804</b>	<b>563</b>	<b>2,605</b>	<b>2,591</b>	<b>(14)</b>	<b>(1%)</b>
<b>SMALL VENUES</b>							
Lee Valley Marina Springfield	(263)	165	(97)	(345)	(380)	(35)	(10%)
Lee Valley Marina Stanstead	(201)	191	(9)	(58)	(53)	5	9%
Lee Valley Waterworks Centre	0	15	15	82	82	0	0%
Lee Valley Farm, Hayes Hill	0	1	1	0	1	1	0%
Lee Valley Campsite (Sewardstone)	(144)	98	(46)	(91)	(43)	48	53%
Lee Valley Caravan Park (Dobbs Weir)	(272)	130	(143)	(409)	(355)	54	13%
Lee Valley Leisure Centre Campsite	(134)	72	(63)	39	(45)	(84)	(215%)
Lee Valley Leisure Centre Golf Course	(35)	31	(4)	1	14	13	1300%
Almost Wild Campsite	(16)	10	(6)	(16)	(7)	14	88%
Caravan Sales	(95)	57	(38)	(207)	(50)	157	76%

**OPERATIONAL OUTTURN SUMMARY**

**LEE VALLEY REGIONAL PARK AUTHORITY**

**YEAR 2022/23**

**PERIOD: 03 (June 2022)**

	Actual To Date			Annual Net Budget	Proposed Net Outturn	Variance	
	Income	Expenditure	Net			£000s	%
<b>TOTAL SMALL VENUES</b>	<b>(1,160)</b>	<b>770</b>	<b>(390)</b>	<b>(1,004)</b>	<b>(831)</b>	<b>179</b>	<b>17%</b>



## OPERATIONAL OUTTURN SUMMARY

## LEE VALLEY REGIONAL PARK AUTHORITY

YEAR 2022/23

PERIOD: 03 (June 2022)

	Actual To Date			Annual Net Budget	Proposed Net Outturn	Variance		
	Income	Expenditure	Net			£000s	%	
<b>LEISURE SERVICES CONTRACT</b>								
Management Fee	0	0	0	2,261	2,261	0	0%	
Efficiencies / Increased Income	0	0	0	(60)	(30)	30	50%	
LSC Support	0	37	37	0	0	0	0%	
LSC Venues Direct Costs	(5)	87	82	170	243	73	43%	
LSC Contingency	0	0	0	310	310	0	0%	
<b>TOTAL LSC VENUES AND BUSINESS SUPPORT</b>	<b>(5)</b>	<b>124</b>	<b>119</b>	<b>2,681</b>	<b>2,784</b>	<b>103</b>	<b>4%</b>	
<b>OTHER OPERATIONAL SERVICES COSTS/INCOME</b>								
s106 Expenditure/Income	0	1	1	0	0	0	0%	
<b>TOTAL OPERATIONAL SERVICES</b>	<b>(2,817)</b>	<b>2,952</b>	<b>298</b>	<b>8,119</b>	<b>8,262</b>	<b>143</b>	<b>2%</b>	

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## **Q1 CAPITAL PROGRAMME BUDGET MONITORING 2022/23**

Presented by the Head of Finance

### **EXECUTIVE SUMMARY**

This report summarises capital spending in 2022/23 compared to the current capital programme.

Appendix A to this report provides a financial summary of current schemes within the capital programme and shows that overall net capital expenditure for the year end is currently projected to be £21.338 million, and in line with the approved budget.

### **RECOMMENDATION**

Members Note: (1) the report.

### **BACKGROUND**

- 1 Authority initially approved the capital programme for 2022/23 at its meeting on 20 January 2022 (Paper A/4313/22). This report compares the actual spend with the current programme.
- 2 Where there is a significant variance, resulting in a projected under or over spend for a particular project, a brief explanation for the variance is provided below by the Accountable Officer for that scheme.
- 3 Where slippage is projected and reported, those resources remain earmarked for the particular schemes in question in future years. Where an under spend is reported these savings are added back into capital funds.
- 4 The original annual budget for 2022/23 was £16.026 million net expenditure. However, reprofiling due to prior year slippage, along with the inclusion of other identified schemes, has meant the current capital budget is now £22.193 million. The projected net capital position for the year is £21.338 million, in line with the revised budget

### **SPECIFIC SCHEMES**

- 5 The review of major schemes in 2022/23 is detailed below.

## **6 Lee Valley Ice Centre Redevelopment**

The Ice Centre Redevelopment has continued to progress well and is on target in terms of time, but there are pressures on the Mechanical and Electrical installation due to legislation changes around internal partition walls which house much of the cables and connections, and has slightly delayed the install. The completion and handover date of 11 November remains currently and the project remains on budget.

The Authority's specialist design team continues to analyse the market in terms of materials and the variables that have been seen regarding costs and delivery times. Thus far, due to commitments being made early on, there have been no major issues on the Ice Centre Redevelopment project and the team's feedback has not flagged any upcoming issues with supply. This will be continually closely monitored through to completion.

### **Ice Centre Borrowing**

The Ice Centre is to be financed from external borrowing, and to date the Authority borrowed £15million in short term loans, with the remainder of the expenditure to date financed from its own cash reserves in the short term. This will all be converted into long-term borrowing so as to remove the direct impact on the Authority's cash reserves.

The contractor payment profile has meant that we have not needed to take any further advances since May, although we will need to borrow further from October. The current volatility in interest rates has meant we continue to evaluate our borrowing options to ensure we maximise the benefit and minimise the future cost to the Authority.

An update on the borrowing will be presented to Members in future Capital Monitoring reports.

## **7 Asset Maintenance**

The annual Asset Maintenance budget has been increased to £1.25m, and the current profiled budget for 2022/23 includes schemes carried over from the prior year. It is envisaged that there will be no slippage to this figure. Works are largely progressing in line with the programme at the 6 month stage. The largest project being Lee Valley Athletics Centre track replacement at £483k is nearing completion.

## **8 Hostile Vehicle Mitigation**

Whilst this project has seen significant delays due to the planning process, this permission is now imminent and following that the procurement process can be commenced. However, due to extended material delivery times on such specialist items it is not envisaged that this project will complete in the financial year. It will be most likely in progress with a projected spend of around 50% of its value at £250,000.

## **9 Lee Valley White Water Centre Pumps Replacement**

The updating of pumps and controls on both courses is now in progress, two new pumps have been ordered and are due for delivery in the latter part of this calendar year. Controls are being replaced as they become available, this

project will complete within the financial year.

## 10 Landscape, Open Space and Investment Projects

Officers have been reviewing the Landscape and Open Space project list (Paper E/711/20) for any schemes that may progress. Listed below are some that are progressing in addition to those, others are in the pipeline and these will start progress throughout 2023 and onwards, such as Cheshunt Lakes S106, and Lea Bridge Station mitigation.

### **Middlesex Filter Beds**

This project has now been agreed to progress and further investigations are underway as an unknown element of Thames Water pipes has come to light. Once this element is understood the scheme will be tendered and delivered or it may have to be reassessed as to its viability. Members will be updated as to how this project is progressing.

### **East India Dock Basin**

Surveys have now been completed and we have a firm idea of costs for the silt removal and gate repair. The final element of the study on water circulation will be complete in the next two months. This has now enabled two funding streams to be pursued.

A Levelling Up Fund (LUF) bid has been constructed with the London Borough of Tower Hamlets (LBTH) to seek funding for a potential £10m project which would pull in public realm and connectivity linkages to East India Dock Basin (EIDB) and Bow Creek. This funding stream would allow the Basin project to progress, encompassing silt removal, gate restoration and a visitor centre on site (projected at £5m). The contribution in match funding required is 15% and would mean our contribution would be in the region of £850,000. This bid was submitted by 6 July with a decision expected in October 2022.

The second funding stream to be looked at is National Lottery Heritage Fund (NLHF) and we have successfully passed the Expression of Interest stage and been invited to submit a full bid by NLHF. Working with our LBTH colleagues and using much of the information gathered for the LUF bid we will construct a bid over the summer with a view that if the LUF bid fails we will submit a bid to NLHF in November 2022. Match funding for this stream is a minimum of 5% but we should also aim for more if possible. This route also allows other partners to contribute more and potential match funding from other streams will be available. If this route is taken a full paper will be taken to Members.

### **St Pauls Field**

The consultants designs are on track and this is on budget. We plan to procure contractors in the autumn of 2022 for delivery over the winter 2022/23 with final spend occurring in early 2023.

### **Three Mills Enhancement**

Works to reprofile the green are nearing completion, the project was undertaken due to historic poor drainage issues which had been exacerbated by a number of successful musical events. The project involved the export of 1150m<sup>3</sup> of compacted soil and the import of 4750m<sup>3</sup> of new soil to create a dome shape with a perimeter land drain.

## 11 Venue Investment Projects

Executive Committee approved a list of venue investment projects at the meeting on 16 November 2021 (E/743/21) which will enhance venues, and deliver cost savings, additional income and new income streams.

The projects will be delivered over a number of years, with a number being initiated in the current financial year.

### **Lee Valley VelóPark LED Lighting**

This project has now been completed with only a few last minor snagging left to finish.

### **Campsites Glamping Units and Playgrounds**

Orders for the new pods at each campsite have been placed, three are up and running at Sewardstone, the final three are due delivery to Dobbs Weir in September. The playground has been installed and is proving popular.

### **Lee Valley White Water Centre Offices**

This project has been successfully procured and the contract awarded at a cost of just under £500k, the project is due to commence on 26 September with a completion date of 19 December.

## **CAPITAL BUDGET PROGRAMME FORWARD PLAN TO 2026/27**

- 12 Sports venues investment projects are being progressed but are still to be agreed with Greenwich Leisure Ltd (GLL), to ensure that any agreed project delivers a return to the Authority over the lifetime of the Leisure Services Contract. Any investments proposed will be brought back to Members for consideration.

- 13 A provisional commitment against projects at both East India Dock Basin and St Pauls Field has been incorporated into the longer-term capital programme.

The East India Dock Basin contribution will be dependent on the final funding stream that is secured. Our provisional commitment of £850K will just meet the 15% match funding for Levelling Up Funding and is comfortable for the National Lottery Heritage Fund if the final project projection remains under £5m. As more detailed designs and costs are developed or revised we will keep Members informed of any impact on the capital programme.

The St Pauls Field commitment is currently funding the Landscape Architects design and feasibility work and by the autumn we will have a clearer idea of the potential costs of an agreed scheme and the capital costs to deliver the final option.

## **ENVIRONMENTAL IMPLICATIONS**

- 14 There are no direct environmental implications arising from the recommendations in this report. However, within each project a full evaluation of environmental implications is undertaken and reported to Members as part of the overall project brief.

**EQUALITY IMPLICATIONS**

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

**FINANCIAL IMPLICATIONS**

- 16 A variance during the year on the capital programme can result in additional/reduced investment income being earned in the year as cash balances deposited in the Authority's approved bank accounts change.

**HUMAN RESOURCE IMPLICATIONS**

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

**LEGAL IMPLICATIONS**

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

**RISK MANAGEMENT IMPLICATIONS**

- 19 Failure to deliver a capital project within an agreed timescale could lead to adverse publicity. It may also mean that the Authority fails to achieve its corporate objectives within the time span that was originally anticipated and/or result in revenue budget variations as part of the Medium Term Financial Plan where the investment is intended to generate new income streams.

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**PREVIOUS COMMITTEE REPORTS**

Executive Committee	E/766/22	Q4 Capital Programme Budget Monitoring 2021/22	26 May 2022
Executive Committee	E/754/22	Q3 Capital Programme Budget Monitoring 2021/22	24 February 2022
Authority Committee	A/4313/22	Proposed Capital Programme 2021/22 (Revised) to 2026/27	20 January 2022
Executive Committee	E/740/21	Q2 Capital Programme Budget Monitoring 2021/22	21 October 2021
Executive Committee	E/731/21	Q1 Capital Programme Budget Monitoring 2021/22	22 July 2021

**APPENDIX ATTACHED**

Appendix A Capital Monitoring 2022/23 Q1 Outturn

**LIST OF ABBREVIATIONS**

LBTH	London Borough of Tower Hamlets
EIDB	East India Dock Basin
NLHF	National Lottery Heritage Fund
LUF	Levelling Up Fund

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Project Name	Full Scheme Budget £000s	Spend To Date £000s	Profiled Budget 2022/23 £000s	Actual to 31 Jul 2022 £000s	Projected Outturn at 31/03/2023 £000s	Projected Variance £000s	Comment
<b>ANNUAL EARMARKED PROVISION</b>							
Biodiversity Action Plan	-	-	87	14	87	0	
IT Infrastructure & Communications	-	-	170	47	170	0	
Asset Management	-	-	1,641	219	1,641	0	
<b>PROJECT SPECIFIC BUDGETS</b>							
Lee Valley Ice Centre Redevelopment	30,000	13,250	16,750	5,394	16,000	-750	
Olympic Park Hostile Vehicle Mitigation	495	5	490	0	250	-240	In Progress
Dobbs Weir Campsite Final Phase	27	0	27	27	27	0	Scheme Complete
Olympic Rings	50	0	50	0	45	-5	
Eton Manor Feasibility	25	0	25	25	25	0	
White Water Pumps Replacement	800	0	800	275	800	0	
<b>LANDSCAPE, OPEN SPACE &amp; INVESTMENT PROJECTS</b>							
East India Dock Basin - Feasibility	85	10	75	22	75	0	
Middlesex Filter Beds Sluice	240	0	240	0	240	0	
St Pauls Field - Feasibility	15	4	11	6	12	1	
Waltham Abbey Gardens	20	0	20	0	20	0	Contribution/Match Funding
Three Mills Enhancement Works	330	0	330	0	330	0	
<b>VENUES INVESTMENT PROJECTS</b>							
<b>Non-Sports Venues</b>							
Campsites - Playgrounds	75	28	47	30	30	-17	
Campsites - WIFI Upgrade	30	0	30	0	30	0	
Campsites - Glamping Pods	84	99	0	2	101	101	Budget units only - no siting
Marinas - Welding Tents	10	0	10	0	10	0	
Holyfieldhall Farm - Calf Nursery/Milk Storage	62	0	62	0	60	-2	
Feeder Pillars (Springfield)	75	0	75	0	75	0	
Laundry Room Extend (Springfield)	45	0	45	0	25	-20	New machines only
Craning Pad Extension (Stanstead)	3	0	3	0	3	0	Scheme Complete
Holyfieldhall Farmhouse Conversion	250	0	250	0	100	-150	In Progress

LEE VALLEY REGIONAL PARK AUTHORITY  
CAPITAL PROGRAMME MONITORING 2022/23 QUARTER 1

Project Name	Full Scheme Budget £000s	Spend To Date £000s	Profiled Budget 2022/23 £000s	Actual to 31 Jul 2022 £000s	Projected Outturn at 31/03/2023 £000s	Projected Variance £000s	Comment
<b>Sports Venues</b>							
Velopark - LED Lighting	700	210	490	512	612	122	Additional works - Scheme Compete
WhiteWater - Offices, Meeting Rooms	450	0	450	0	470	20	
Whitewater - Slalom Ramp	100	0	100	0	100	0	Tri party funding total cost £350k est
<b>TOTAL PROGRAMME</b>			<b>22,278</b>	<b>6,573</b>	<b>21,338</b>	<b>-940</b>	
<b>CAPITAL PROGRAMME FINANCING</b>							
Borrowing			16,750		16,000		
AM Reserve			1,641		1,641		
Capital Fund			290		290		
Capital Receipts			3,597		3,407		
<b>TOTAL FINANCING</b>			<b>22,278</b>		<b>21,338</b>		

## **BUSINESS CONTINUITY POLICY**

Presented by Corporate Director

### **EXECUTIVE SUMMARY**

The purpose of this report is to seek Member approval for the draft Business Continuity Policy and associated procedures and the recommendation to the Authority for its adoption. The Policy has been created as a result of review of the Authority's Risk Management processes and procedures after the Risk Register workshop held earlier in the year.

### **RECOMMENDATION**

Members Approve: (1) the recommendation of the draft Business Continuity Policy and associated procedures to the Authority for adoption.

### **BACKGROUND**

- 1 The Authority has a register of Policies that ensure the organisation works efficiently and consistently towards delivering its Business Strategy. As required, new policies are introduced to safeguard the Authority and make sure that all staff are conforming within current legislation and best practice.
- 2 Business Continuity Management arrangements have been developed for implementation in a safe, prioritised and structured manner with the commitment of the Senior Management Team (SMT) for all of the services and sites within the Authority's control.
- 3 As part of a review of all processes involved with the management of risk and business continuity, a Business Continuity Policy has been written, along with accompanying procedures and guidance documentation.

### **BUSINESS CONTINUITY POLICY**

- 4 A draft of the Business Continuity Policy is attached at Appendix A of this report for Members consideration and approval and the Business Continuity Plan Procedure, Risk Register Procedure and Business Continuity Risk Assessment are an annex to this policy.

- 5 The Business Continuity Policy is to set out the principles and practices that the Authority will adopt to meet with its legal obligations and its commitment to ensure the safety of both customers and staff when within the Authority's Facilities or outside spaces and to ensure that, in the event of any business continuity incident, the initial response to a threat to the Authority's normal business is appropriate, robust and as coherent and effective as possible in the circumstances.
- 6 The aim of the proposed policy is to ensure that the Authority complies with the relevant legislation and that any associated procedures safeguard both customers and staff at all times with a business impact and disaster recovery process to be followed in the event of any incident.

#### **ENVIRONMENTAL IMPLICATIONS**

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

#### **FINANCIAL IMPLICATIONS**

- 8 There are no financial implications arising directly out of the recommendations in this report.

#### **HUMAN RESOURCE IMPLICATIONS**

- 9 There are no human resource implications arising directly out of the recommendations in this report.

#### **LEGAL IMPLICATIONS**

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

#### **RISK MANAGEMENT IMPLICATIONS**

- 11 There will need to be regular training of relevant levels of staff in processes and monitoring as outlined within the attached procedures.

#### **EQUALITIES IMPLICATIONS**

- 12 There are no equalities implications arising directly from the recommendations in this report.

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#### **PREVIOUS COMMITTEE REPORTS**

#### **ANNEX ATTACHED**

- |            |                                    |
|------------|------------------------------------|
| Appendix A | Business Continuity Policy         |
| Appendix B | Business Continuity Plan Procedure |

Appendix C	Risk Register Procedure
Appendix D	Business Continuity Risk Assessment

**LIST OF ABBREVIATIONS**

the Authority	Lee Valley Regional Park Authority
SMT	Senior Management Team

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# Business Continuity Policy

September 2022

Reference: [Version 0.3]



This document is controlled by Lee Valley Regional Park Authority.

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Lee Valley Regional Park Authority,  
Myddelton House, Bulls Cross,  
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**i Document Information**

**Title:** **Business Continuity Policy**

**Status:** Draft

**Current Version:** v0.3 (01 September 2022)

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<b>Consultation:</b>	Corporate Directors H&S Contractor Heads of Service Facility Managers Policy and Procedure Review Group
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<b>Version History</b>		
<b>Version</b>	<b>Date</b>	<b>Description</b>
0.1	22 July 2020	Initial draft, circulated to SMT, RDHS
0.2	3 September 2020	Revision after circulation to SMT, RDHS
0.3	1 September 2022	Further revision after commencement of Leisure Service Contract

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## 1. Introduction

### 1.1 Definition of Business Continuity Management

According to the Business Continuity Institute, business continuity management is “an holistic management process that identifies potential threats to an organization and the impacts to business operations that those threats, if realised, might cause, and which provides a framework for building organisational resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value-creating activities”.

### 1.2 Business Continuity Policy - Operational

This policy ensures that the Authority’s Business Continuity Management arrangements are developed and implemented in a safe, prioritised and structured manner with the commitment of the senior management team.

### 1.3 Business Continuity Objectives at LVRPA

The objectives of the Authority’s business continuity policy are to ensure as far as practicable that:

- the initial response to a threat to the Authority’s normal business is appropriate, robust and as coherent and effective as possible in the circumstances;
- the impacts of the threat are kept within acceptable levels as pre-defined by the relevant Corporate Directors and Senior Management Team (SMT) on initial threat analysis;

- in recovery to business as normal , priority is given to maintaining or restoring activities or services that are regarded as business critical in the circumstances; and
- relevant staff within the Authority are trained, advised and supported in order to achieve the above, in cooperation with others as appropriate; the process is not centrally directed

It is not an objective of business continuity planning within the Authority to ensure that, in the worst cases such as prolonged loss of use of an entire facility or service, full recovery to business as normal can be achieved quickly, or indeed in any particular timeframe. To guarantee any such recovery to any pre-determined specific deadline would be unrealistic and require prohibitively expensive resilience measures.

## **2. LVRPA Business Continuity Policy**

2.1. It is the policy of LVRPA to:

- maintain a strategy for reacting to, and recovering from, adverse situations which is in line with an agreed level of acceptable risk
- ensure that, whenever practical, action is taken to prevent the occurrence or recurrence of an adverse situation through adopting appropriate risk controls
- maintain a programme of activity and services which ensures the Authority has the ability to react appropriately to, and recover from, adverse situations in line with predefined business continuity objectives
- maintain appropriate corporate and facility response plans underpinned by a clear escalation process
- rehearse response and recovery plans at least annually
- maintain a level of resilience to operational failure in line with the risks faced
- maintain employee awareness of the Authority's expectations of them during an emergency or business continuity threatening situation
- take account of changing business needs and ensure that the response plans and business continuity strategies are revised where necessary
- remain aligned with good industry practice in business continuity management

## **3. Scope of Business Continuity Planning**

3.1 Business Continuity Planning at LVRPA concentrates on the following priorities:

- personal safety of all in Authority Facilities, Open Spaces and its Services.
- initial/emergency response
- communications
- safeguarding of assets
- recovery/continuity of key business activities
- recovery/continuity of revenue streams

## 4. Responsibility for Business Continuity

4.1 Responsibility for Business Continuity within the Authority is delegated by the Chief Executive to the Corporate Director (Sport and Leisure). This responsibility is in turn cascaded through the Authority's management structure and assured and overseen by the Business Continuity Planning Team. The Planning Team meets four times a year and is composed of;

Role	Responsible Officer
Planning Team Chair	Corporate Director (Sport & Leisure)
Co-ordination of open spaces and other facility requirements and group deputy	Corporate Director
Business Continuity Co-ordinator	Senior Contracts and Quality Manager
Co-ordination of IT requirements	Head of IT
Co-ordination of Special Project requirements	Head of Project and Funding Delivery
Co-ordination of Procurement	Senior Sport, Leisure and Projects Manager
Co-ordination of Communication requirements	Head of Communications
Co-ordination of Events	Senior Events Manager
Co-ordination of H & S requirements	H & S Contractor – Lead Officer
Co-ordination of APMD requirements	Head of Asset Maintenance
Co-ordination of Property requirements	Head of Property
Co-ordination of HR Training requirements	Head of HR

The Planning Team reports to the SMT.

4.2. Responsibility for localised business continuity matters and planning lies with the Heads of Service group incorporating heads of departments, the heads of divisions/service areas and this will feed into facility/service managers. The Facility/Service managers are accountable for the undertaking and implementation of business continuity measures in their areas. As a minimum the Authority expects each facility/service to have its own, fit for purpose, business continuity plan and for that plan to be reviewed and updated at least annually with sign off by the Business Continuity Planning team. Each business continuity plan must be submitted to the Business Continuity Co-ordinator annually for ratification by the Business Continuity Steering Group. Failure to comply at this level will be noted in the Authority's operational risk register.

## 5. Additional Roles & Responsibilities

5.1 The Roles and Responsibilities listed below will be revised annually to ensure that they fit the strategic objectives of the Authority.

### Authority Members

- Understand and support awareness of business continuity;

- Support Authority staff with business continuity roles, within areas of responsibility, to demonstrate leadership and commitment;
- Ensure Corporate Directors and Heads of Service meet the business continuity targets;
- Discuss quarterly reports within Audit Committee meetings and act on any issues identified, as required.

### Corporate Directors and Heads of Service

- If the department has experienced significant disruption due to a recent incident, discuss operational risk and business continuity in the senior management team/HoS meetings to identify controls and plans to mitigate disruption.
- Agree a primary and alternate business continuity champion, responsible for business continuity within their department as outlined in the Business Continuity Management Procedure.
- Ensure staff assigned the champion role complete their actions (Operational risk assessment, Business Impact Analysis, Business Continuity Plan development, exercises);
- Ensure the department has robust business continuity plan(s) which are signed-off;
- Ensure all members of the management team are aware of their responsibilities in each department's business continuity plan;
- Monitor results of plan reviews and exercises.

### Business Continuity Champions

Under the guidance of the Business Continuity Co-Ordinator (through provision of templates and assistance with completion), the business continuity champions will over the course of the year complete and maintain the facility or service;

- Business Continuity Plan;
- Business Continuity Risk Assessment;
- Business Impact Analysis;
- Disaster Recovery Plan;
- Update the Call cascade outlined in the Facility Incident Management Plan;
- Plan exercise timetable with two exercises per year.

In addition:

- Respond to major operational incidents when required. This will involve the Corporate Director (Sport & Leisure) implementing a response structure to;
  - Bringing department situation reports to Business Continuity Steering Group meetings and implementing, communicating and coordinating updates to the facility or service Business Continuity Plan.
  - Attend quarterly meetings held by the Business Continuity Co-ordinator.
  - Generally raise awareness of business continuity in the department, including the department continuity plan and staff roles and responsibilities in the plan.

## Business Continuity Co-ordinator

- Establish and maintain a business continuity management framework and agree business continuity champions for each department;
- Schedule and chair quarterly meetings with champions;
- Ensure the business continuity programme aligns with standards and best practice;
- Provide quarterly reports to the Corporate Director (Sport and Leisure) and the Audit Committee.

## **6. Management of Business Continuity**

6.1. The following are the main processes and procedures through which the Authority implements its business continuity policy:

- Emergency Action Plans this is the first stage in the emergency response/business continuity process
- the Facility Incident Management Plans (FIMP) this is the next stage in the emergency response/business continuity process
- the Corporate Incident Management Plan (CIMP); this uses a command structure in line with that used by the emergency services following a Gold/Silver/Bronze hierarchy. Separate Event specific incident management plans will be specifically used during all events and link in with the CIMP.
- Business Continuity Plans for all facilities/services within the Authority, submitted for review yearly and tested regularly
- Annual Business Impact Analyses to help define recovery priorities for the Authority
- the Business Critical Calendar
- Authority-wide training and support facilitated by RDHS and HR (Authority Responsible Officer)

## **7. Business Continuity Framework**

7.1 The standard management method Plan, Do, Check, Act (PDCA) used by organisations such as HSE will be applied to the design and implementation of the business continuity process.

### **Plan (establish)**

- Documented business continuity policy, objectives, targets, controls, processes and procedures, relevant to improving business continuity in order to deliver results that align with the corporate strategy.

### **Do (Implement and operate)**

- Implementation of the policy, controls, processes and procedures through:
  - Documented business impact analysis and operational risk assessment;
  - Identification of appropriate business continuity strategies;
  - Establishing incident response structures and processes;
  - Documenting business continuity plans for key products and services and areas key to the delivery of the corporate strategy;
  - Implementation of exercises to validate the effectiveness of plans.

#### Check (monitor and review)

- Programme performance evaluation through methods of monitoring, measurement, analysis and evaluation of processes, including audits of plans and management reviews.

#### Act (maintain and improve)

- Implementation and follow-up of lessons learnt, as identified from incidents and exercises.
- Continual improvement through identification of nonconformity and corrective action plans.

## 8. Maintenance & Continual Improvement

8.1 In order to comply with the Business Continuity Framework, it is essential that both the Policy and Business Continuity Management Procedure are reviewed annually or after a major incident as defined in the Business Continuity Management Procedure.

#### Maintenance

Business continuity plans will go through a formal review at least once annually. All facilities and services will be responsible for regularly updating their business continuity plans between reviews

All contact details held in the plans will be updated no less than once quarterly or on change of staff by the facility or service manager. *Contact details stored by departments for Business Continuity purposes must comply with data protection.*

#### Continual Improvement

To ensure continual improvement the Business Continuity Co-ordinator will:

- Ensure the business continuity programme achieves its intended outcomes, directing and supporting individuals as necessary.
- Ensure the resources needed are available (with support from the SMT where necessary).
- Follow-up recommendations from lessons learnt from exercises to ensure they are implemented.
- Ensure internal audits of the programme are conducted and the improvements identified are implemented.

8.2 Quarterly performance reports on the implementation of the business continuity programme and a summary of incidents will be collated by the Business Continuity Manager and provided to the Audit Committee so they are aware of any actions taken to improve resilience and reduce Corporate Risk.

## 9. Appendices

Appendix A – Supporting Document Index

## APPENDIX A – SUPPORTING DOCUMENT INDEX

Document	Location	Version	Author
Emergency Action Plan Template	QMS System	9.0	Facility
Facility Incident Management Plan	QMS System	9.0	Facility
Facility Incident Response Flowchart	QMS System	9.0	H&S
Corporate Incident Management Plan	QMS System	7.0	H&S
Corporate Incident Response Reporting Flow Chart	QMS System	7.0	H&S
GLL and LVRPA Critical Incident Media Protocol	QMS System	1.0	H&S
Business Continuity Management	QMS System	2.0	Activation
Business Continuity Plan	QMS System	2.0	Activation
Business Continuity Risk Assessment	QMS System	2.0	Activation
Risk Register Procedure	QMS System	3.0	Activation





# Lee Valley Quality Management System Procedure

## Detail

Procedure name:	Business Continuity Plan
Issue Number:	2
Date Created:	September 2020
Date updated:	September 2021
Review Date:	September 2023
Author (job title):	Senior Contracts and Quality Manager
Responsibilities:	A Business Continuity Planning Team has been established to deliver the objectives. This team will be responsible for establishing and supporting an on-going process to evaluate the impact of events that may adversely affect LVRPA, customers, assets or employees. The focus of the team is to assist Facility/Service managers develop and maintain a plan designed to ensure that the organisation as a whole and their facilities/service in particular, can restore business critical functions, and meet responsibilities to our customers and other stakeholders in a manner consistent with our recovery goals.

## Contents

This procedure covers the following points:	
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## Objective

It is the objective of Lee Valley Park Regional Authority to ensure that all facilities/services remain operational in the event of a major failure of areas/equipment, by means of a Business Continuity planning process.

## Scope

The Business Continuity Planning Team will lead in identifying potential risks to Authority business and to the safety and well-being of our employees. Once risks are identified, the team will suggest and develop strategies that should minimise the impact the event may have on our operations both for facilities and services.

## Business Continuity Plan Process



During the initial phased set up of any site and annually thereafter, the facility/service manager and their team, with support from the Business Continuity Planning Team, will analyse all processes that could affect the management and operational functions of the facility/service.

Once these items have been collated, the facility/service manager will then carry out the following processes;

**1) Risk Assessment** - The purpose of this assessment is to identify those events that have a higher likelihood (higher grade) of adversely impacting operations, so as to help prioritise the prevention and mitigation strategies.

**2) Business Impact Analysis (BIA)** – this will decide how quickly the function must be resumed before the facility/service is significantly impacted in terms of products, services, reputation and customer base.

**3) Prevention/mitigation/recovery (Disaster Recovery Plan – DRP)** – the facility/service manager can build an action plan to resume operations in the event of a business interruption and to set planning priorities based on how important these functions are to their operations based on their Business Impact Analysis.

**4) Implementation, testing and exercises** - To ensure that the recovery plan is effective after an event, periodic review coupled with testing is required. There are many types of tests that can be conducted to help ensure that the plan is adequate and these will be listed.

**5) Training and education** – with the assistance of the Business Continuity Planning Team, a training/education programme will be introduced ensuring a comprehensive and holistic approach for all staff to the Business Continuity process.

**6) Testing and Exercises** – The Authority will test the Business Continuity plans by means of tests (desktop) and exercises (real time) to ensure the plans are robust and have been updated, where necessary, to reduce risk, mitigate any further impacts on the business and confirm the disaster recovery process is fit for use. Tests will be conducted by external advisors, such as the Authority's Health and Safety support contractor or insurers.

## Business Continuity programme schedule

	Estimated completion date	Planning team member/s responsible	Facility/Service
1) Risk Assessment	End December 2021	Vince Donaldson, Simon Clark, Jon Carney, Paul Roper	All
2) Business Impact Analysis	End January 2022	Vince Donaldson, Simon Clark, Dan Buck, Jon Carney	All
3) Prevention/Mitigation Disaster Recovery Plan	End January 2022	Vince Donaldson, Jack Bernard	All Authority
4) Implementation	End February 2022	All	All Authority
5) Training and Education	End February 2022	Vince Donaldson, Simon Clark, Jack Bernard	All Authority
Testing and exercises	End March 2022 then six monthly	Vince Donaldson, Jack Bernard	All Authority

## Business Continuity Planning Team

The Business Continuity Planning Team for the Authority will meet on a quarterly basis to ensure that all processes required for Business Continuity are monitored to ensure they are updated as and when required.

The team will;

- Establish a work schedule and programme deadlines. Timelines can be modified as priorities become defined.

- Consider any specific budget requirements for research, documents, seminars, consulting services and other expenses that may be considered necessary during the plan development process.
- The Business Continuity Planning Team will be comprised of the following officers:

Name	Job Title	Specialism	Telephone	email
Dan Buck	Corporate Director	Sport and Leisure	01992 709896 07956 898619	<a href="mailto:dbuck@leevalleypark.org.uk">dbuck@leevalleypark.org.uk</a>
Jon Carney	Corporate Director	Open Spaces, Campsites, Marinas	01992 709804 07715 449325	<a href="mailto:jcarney@leevalleypark.org.uk">jcarney@leevalleypark.org.uk</a>
Vince Donaldson	Senior Contracts and Quality Manager	Quality Management System	01992 709816 07920 495390	<a href="mailto:vdonaldson@leevalleypark.org.uk">vdonaldson@leevalleypark.org.uk</a>
Simon Clark	Head of IT	Information Technology	01992 709893 07734 021746	<a href="mailto:sclark@leevalleypark.org.uk">sclark@leevalleypark.org.uk</a>
Paul Roper	Head of Project and Funding Delivery	Project management	01992 709845 07917 647552	<a href="mailto:proper@leevalleypark.org.uk">proper@leevalleypark.org.uk</a>
Justin Baker	Senior Sport, Leisure and Projects Manager	Procurement and project planning	01992 709938 07909 000302	<a href="mailto:jbaker@leevalleypark.org.uk">jbaker@leevalleypark.org.uk</a>
Stephen Bromberg	Head of Communications	Communications and PR	01992 709881 07793 773540	<a href="mailto:SBromberg@leevalleypark.org.uk">SBromberg@leevalleypark.org.uk</a>
Sophie Stone	Senior Events Manager	Events	01992 709913 07770 315973	<a href="mailto:sstone@leevalleypark.org.uk">sstone@leevalleypark.org.uk</a>
Joe Ryan	Managing Director, RDHS Ltd.	Health and Safety	01458 241661 07919 214396	<a href="mailto:joe@rdhs-ltd.co.uk">joe@rdhs-ltd.co.uk</a>
Jack Bernard	Health and Event Safety Consultant, RDHS Ltd.	Health and Safety	01458 241661 07919 047389	<a href="mailto:jack@rdhs-ltd.co.uk">jack@rdhs-ltd.co.uk</a>
Michael Stevens	Head of Asset Maintenance	Asset Maintenance	01992 709861 07909 000320	<a href="mailto:mstevens@leevalleypark.org.uk">mstevens@leevalleypark.org.uk</a>
Marigold Willberforce	Head of Property	Property and Allotments	01992 709883 07825 033510	<a href="mailto:mwillberforce@leevalleypark.org.uk">mwillberforce@leevalleypark.org.uk</a>
Victoria Yates	Head of HR	Human Resources	01992 709915 07739 852235	<a href="mailto:vyates@leevalleypark.org.uk">vyates@leevalleypark.org.uk</a>
Alison Sackett	Management Support Officer	Administration	01992 709844 07920 825515	<a href="mailto:asackett@leevalleypark.org.uk">asackett@leevalleypark.org.uk</a>

## Business Continuity Champion

Each facility/service will nominate a Business Continuity Champion who will be responsible for the BCP, the BC Risk Assessment, Business Impact Analysis and Disaster Recovery Plan. This person will normally be the Facility/Service Managers who would be accountable for undertaking, implementing and ongoing training of staff in relation to Business Continuity measures.

## Business Continuity Risk Assessment Process

Once all of the processes that could affect the management and operational functions of the facility/service have been collated, a Business Continuity Risk Assessment looking at the risk of specific items, implications of that risk, potential impact and risk mitigation will be completed and forwarded to the relevant Head of Service. This will be used to ensure that any high probability or high impact items are listed on the Authority's Risk Register and also the Asset Register for the facility/service. The Business Continuity Risk Assessment procedure will form

part of the Normal Operating Procedures for each facility/service which is a responsibility of the facility/service manager.

## Specific Business Continuity Areas

The range of items for consideration will only be those which impinge directly on the ability of the site to provide the services/facilities required by both paying customers and staff. These will include areas such as:

- IT – Hardware/Software failure, Data loss, phones etc.
- Finance – ELMS (or replacement)/till failure, cash security, purchase orders
- IM (Information Management) – Booking Systems, research
- Health and Safety – Serious accident/incident, pandemic
- Technical – Electrical failure, pump failure, contamination (chemical or bacteriological)

This list is not exhaustive and should be amended to meet the needs of each facility/service.

## Updating the Business Continuity Plan

It will be the responsibility of the facility/site/service manager to update/review their Business Continuity Plan on an annual basis or as required. This will be the case where there have been changes to systems, equipment infrastructure etc. and will need to cover all changes to the current Business Continuity Risk Assessment that will be required to ensure continuity of the business of the site. Separate Business Continuity Risk Assessment and Business Impact Analysis procedures will be available with templates for completion by the facility/service manager.

## Internal Forms

- SIP
- Asset Register
- Business Continuity Risk Assessment

## External Forms

- N/A

## Sources of Information

- Authority Risk Register
- LFA Targets

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## Lee Valley Quality Management System Procedure

### Detail

Procedure name:	Risk Register
Issue Number:	2
Date Created:	September 2020
Date updated:	April 2022
Review Date:	April 2024
Author (job title):	Senior Contracts and Quality Manager
Responsibilities:	<p>In order to carry out these objectives the Business Continuity Co-ordinator assisted by all the Heads of Service will maintain and update the Authority's Risk Register along with any sub-Risk Register created to meet specific business risks and ensure they are regularly reviewed. The focus of these officers is to ensure that all foreseeable risks are fully considered and listed along with current controls and additional mitigations. For Risk Management to be an effective tool, it needs to be embedded throughout the organisation.</p> <p>It needs to be considered as part of the service planning process, as part of the budget setting process, as part of day to day decision making and as part of strategic level decision making by the Senior Management team and Members.</p> <p>It is also critical that management and Members are clear on the need to consider risks beyond their immediate operations, also focusing on risks in relation to partnerships with external bodies, risks in relation to projects and global risks both financial and medical, such as fuel shortages and pandemics.</p> <p>Organisation responsibilities are summarised as follows:</p> <ul style="list-style-type: none"> <li>• Members have overall responsibility for approving the Authority's Risk Management strategy and the content of the Risk Register. <b>They are not directly responsible for the management of risk, rather they must satisfy themselves that the Framework is operating effectively.</b> Specifically, they should be satisfied with the following: <ul style="list-style-type: none"> <li>○ the overall levels of Risk Appetite,</li> <li>○ that all key risks have been identified within the Register on an ongoing basis,</li> <li>○ that the inherent risk scores seem reasonable,</li> <li>○ that the residual risk scores seem reasonable, given the existing controls identified and the potential causes of the risk,</li> <li>○ that the decision as to whether to accept the residual risk score or to take further actions (including potentially terminating the operations relating to the risk) seems reasonable</li> <li>○ that the deadlines set for any further actions seem reasonable,</li> <li>○ that any further actions are being completed within the agreed deadlines and:</li> <li>○ that the existing controls identified are indeed in place and continue to operate effectively – it is not for</li> </ul> </li> </ul>



Members to check this for themselves, but to obtain assurances that this is the case (see Monitoring and Reporting below).

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This procedure covers the following points:

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## Objective

It is the objective of Lee Valley Regional Park Authority to record the details of all risks that have been identified along with their analysis and plans for how those risks will be treated. The Authority must remain functional in the event of any areas of business failure. All risks will be monitored by Authority officers and Members to ensure they are robust, updated and revised when required.

## Scope

Risk Management applies to all aspects of the Authority's operations, including existing activities, those relating to planned developments and other risks that transpire due to unforeseen events such as national/international pandemics.

Risk is not just about the finances of the Authority. Whilst direct financial loss may result, the potential impacts if a risk is realised also include service disruption, reputational damage, environmental damage, personal injury, litigation and regulatory sanctions.

## What Is the Purpose of a Risk Register?

The purpose of a risk register is to record the details of all risks that have been identified along with their current controls and plans for how those risks will be treated.

It takes the form of a spreadsheet that identifies:

- risks along with their severity
- controls in place and the actions taken
- steps to be taken to further mitigate the risk.

The risk register should be viewed by managers as a management tool for monitoring the risk management processes within the Authority. It is the responsibility of the Business Continuity Co-ordinator to ensure that the risk register is updated whenever necessary.

The list of risks that are identified and recorded in the Authority Corporate Risk Register are derived from the individual facility and service Risk Registers, however, generally only those risks that affect the Authority overall will sit within the Authority Corporate Risk Register.

## Management of Risk

Management of risk is a constant ongoing process with the Business Continuity Co-ordinator/Heads of Service raising risks with the Corporate Directors who agree the necessity of adding the risk to the Authority Corporate Risk Register and identify actions that can be taken to mitigate the risk. To properly respond to a risk there may be a need to bring in experts to understand the actions that can be taken to reduce the likelihood of the risk occurring or the impact if the risk does occur.

The aim in general is to reduce risks to an acceptable level. There are times when the risk will remain "red". This is not a reflection that the risk is not being managed, more that SMT in conjunction with the Members feel that the risk has been controlled to the most acceptable level. It is not an efficient use of resources or practical for individual risks to be completely and absolutely eliminated. A decision has to be made in each case as to what is a cost effective response, as set against the Authority's risk appetite.

If a decision is made to implement controls to help manage a risk, then the design of those controls needs to take account of the potential causes of the risk. It is only through taking action to control these causes that a risk can be managed.

## How do we use Risk Management?

The Authority Risk Register and Sub-Registers are used for two main purposes:

- To determine those risks where further actions are needed in order to reduce the residual risk exposure to an acceptable level, i.e. within the Authority's risk appetite. These further actions need to be assigned responsible officers and deadlines for completion and progress towards implementing them needs to be monitored
- To determine those risks where the residual risk exposure has already been reduced to an acceptable level and hence where reliance is being placed on existing controls. Both SMT and Members need to be assured that these controls are operating as intended on an ongoing basis so as to confirm that the actual residual exposure remains at this level.

Both elements are of high importance and hence form the basis of the regular review by Management Team and Members. The Authority Corporate Risk Register and Sub-Registers will be an agenda item for each Heads of Service meeting and any changes are to be communicated by the chair to the Business Continuity Co-ordinator who will update the Authority Corporate Risk Register/Sub-Registers in question.

## Risk Appetite

As it is not an efficient use of resources, nor is it necessarily practical for individual risks to be completely and absolutely eliminated, an important issue in considering the response to risk is the determination of the risk appetite of the Authority.

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. While the assessment remains subjective, these criteria serve as a guide and used to help ensure consistency in scoring against each of the risks identified.

	Impact	Likelihood
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 £5,000 or no impact outside single objective or no adverse publicity	5% - 10% likely to occur in next 12 months
4	Financial loss between £5,000 and £20,000 or minor regulatory consequence or some impact on other objectives	10% - 20% likely to occur in next 12 months
5	Financial loss between £20,000 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 on strategic level objectives or national adverse publicity or Central Government takes over administration	60% - 80% likely to occur in next 12 months
9	Financial loss above £1 million or major impact on strategic level objectives or closure/transfer of business	>80% likely to occur in next 12 months

## Which Risks do we focus on?

All risks within the Authority Corporate Risk Register and Sub-Registers are focused upon, either because they have further actions against them to help lower the residual risk exposure, or because they are believed to be managed to an acceptable level of residual exposure and hence assurance is needed to confirm that this continues to be the case.

With regard to the initial inclusion of a risk on either the Authority Corporate Risk Register or any of the Sub-Registers, this is determined through the inherent risk assessment. If the inherent risk score falls within the green zone of the scoring matrix, then it will not be included as this suggests that the exposure is acceptable, even without taking any steps to manage it.

Risks will only be added to the Authority Corporate Risk Register if the inherent risk falls within the red zone or the amber zone.

## How do we determine how to manage each Risk?

As noted above, it is not an efficient use of resources nor is it necessarily practical for individual risks to be completely and absolutely eliminated. A decision therefore has to be made in each case as to what is a cost effective response, as set against the Authority's risk appetite.

The response to each risk can be categorised into one of the following;

Treat	Controls are put in place to help reduce the likelihood of a risk being realised.
Transfer	Action is taken to transfer the potential impact to another party, e.g. through an insurance arrangement.
Terminate	A decision is made to end the area of activity with which the activity is associated.
Tolerate	A decision is made to accept the current level of exposure without taking any further action.

If a decision is made to implement controls to help manage a risk, then the design of those controls needs to take account of the potential causes of the risk. It is only through taking action to control these causes that a risk can be managed.

Different risks will have different causes and it is likely that there may be more than one potential cause per risk. However, the following categories are used as a guide to identify the causes in each case;

Lack of awareness/understanding of what's needed	Lack of resources/information needed to deliver	Lack of skills/competency needed to deliver
Errors in performance/compliance	Intentional non-compliance	Incompatible duties (lack of segregation)
Duplication of effort	Lack of awareness of poor performance/non-compliance	Lack of resource/competency to address issues

For each risk, the aim is also to have a mix of both preventative and detective controls. A preventative control seeks to stop the risk from being realised, whilst a detective control seeks to identify any instances where this does still occur. A balance is needed given that preventative controls may not always be successful.

## How do we assess Residual Risk?

The residual risk exposure is assessed through a consideration of the extent to which the existing controls adequately mitigate the causes of each individual risk. A risk can only be managed through taking action to control the causes.

It is also important to recognise that the controls in place are generally focused more on reducing the likelihood of a risk occurring as opposed to the impact. In many cases, if the risk does still occur then the impact will be unchanged from the inherent scoring. There are exceptions to this, for example purchasing some form of insurance helps to reduce the potential impact rather than lowering the likelihood. In addition, in some cases, the controls may help to reduce the potential impact as well as the likelihood through a mix of both preventative and detective type controls.

## What if the Residual Risk is not low enough?

The residual risk score is compared against the Risk Appetite to determine whether this is acceptable. As covered under the section titled 'Risk Appetite', if the score is outside the green zone then a decision needs to be made as to how to address this. Such a decision will be based on the specific nature and potential impacts of the risk in question, as well as the costs and practicalities involved with managing it.

The decision will be to 'Tolerate' the existing level of exposure, to 'Treat' it, or to 'Terminate' it through ending the operations to which the risk relates. If a decision is made to 'Treat' the residual exposure, the further action(s) will be identified to do so. For each further action, a deadline for completion and a responsible officer are agreed.

Once completed, the existing controls recorded in the Authority Risk Register are updated to reflect the strengthening of the control environment and the residual risk score is re-assessed.

## How does the Risk Register fit within the Business Continuity Process?



The facility/service manager will carry out the following processes;

**1) Risk Assessment Process and Regular Review of Risk Register** - The purpose of this assessment is to help them identify those events that have a higher likelihood (higher score) of adversely impacting their specific operations so as to help them prioritise their prevention and mitigation strategies. Any significant risk that could affect the Authority overall and not just their specific operations will be added to the Authority Corporate Risk Register.

**2) Business Impact Analysis (BIA)** – this will help decide how quickly the function must be resumed before the facility/service is significantly impacted in terms of products, services, reputation and customer base.

**3) Prevention/mitigation** – the facility/service manager can build an action plan to help resume operations in the event of a business interruption and to set planning priorities based on how important these functions are to their operations based on their Business Impact Analysis. This will take the form of a Disaster Recovery Plan to ensure that their aspect of the Authority's function can return to normal operation in the earliest possible time taking costs into consideration.

These are discussed with the Head of Service and those items that are of a sufficiently high level of risk to the Authority as a whole are added to the Risk Register.

## Monitoring, Updating and Reporting the Authority Corporate Risk Register – Internal Process

Risk management needs to be consistently on the 'agenda' at all levels and the Authority Corporate Risk Register and Sub-Registers need to be treated as 'live' documents. The Authority Corporate Risk Register is reviewed quarterly by the SMT and is an agenda item for the Heads of Service meetings which take place on a monthly basis. The Sub-Registers are also subject to review by the SMT/HoS. The Authority Corporate Risk Register and any Sub-Registers are reviewed by the Audit Committee (Members) at their meetings on a minimum of three occasions annually.

Key elements covered by the review process as linked to the responsibilities include the following;

- consideration as to whether there are any new or emerging risks to be added to the Authority Corporate Risk Register
- consideration as to whether the significance of any existing risks has changed
- consideration as to whether a risk is no longer relevant/of concern and should be removed from the Authority Corporate Risk Register
- monitoring and reporting on the extent to which the controls currently in place are adequately and effectively managing the risks identified,
- determining the extent to which any future actions are needed to strengthen the existing controls and,
- monitoring the progress on the implementation of further actions.

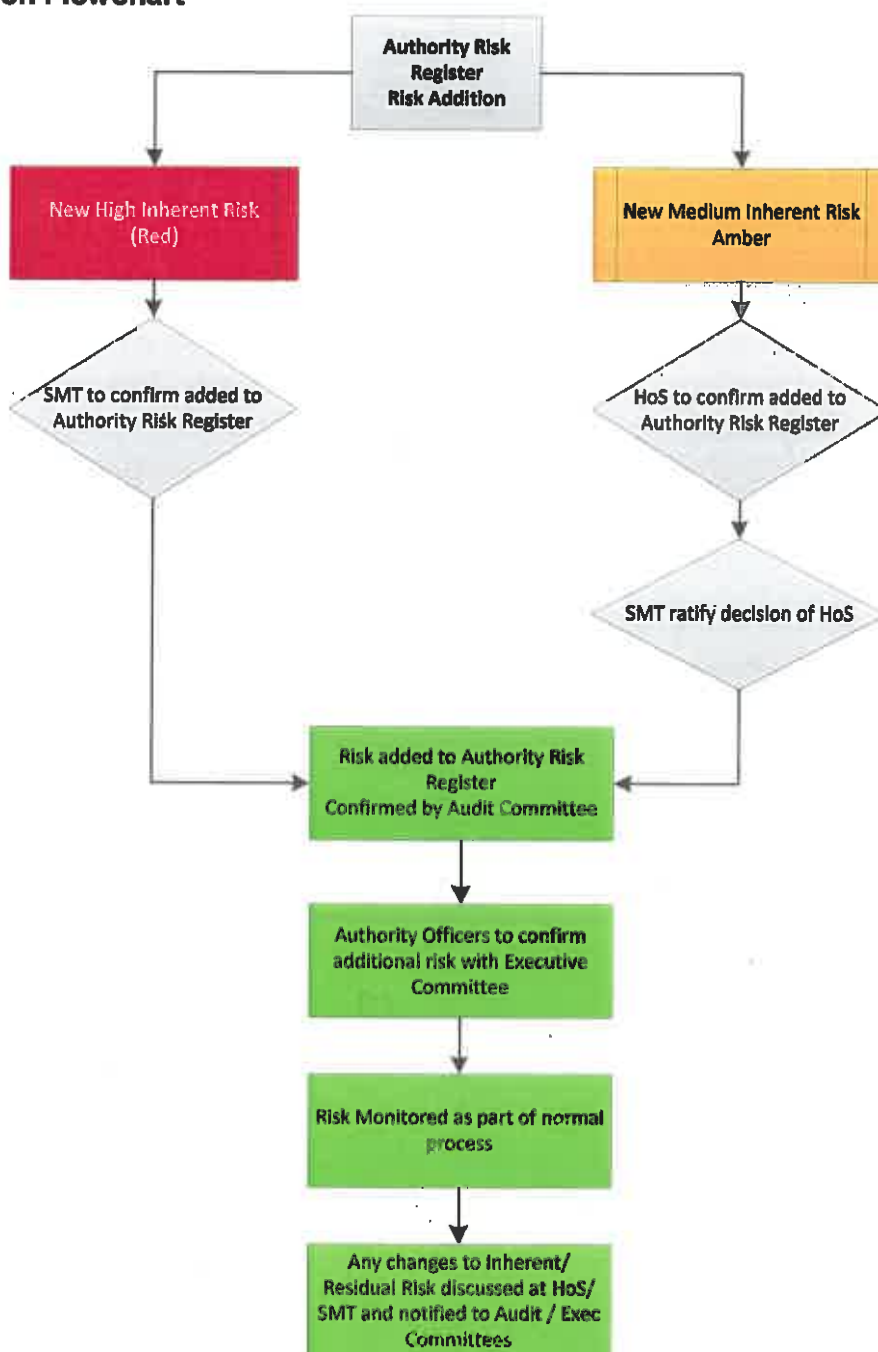
The Business Continuity Co-ordinator will ensure that the Authority Corporate Risk Register is updated quarterly in conjunction with the SMT and will supply the HoS chair copies of the current Authority Corporate Risk Register for them to discuss and, if required update at their monthly meetings.

Any emerging risks that need to be added to the Authority Corporate Risk Register should be confirmed by the relevant lead and communicated to the Business Continuity Co-ordinator who will add these within the relevant section of either the Authority Corporate Risk Register or any sub-register.

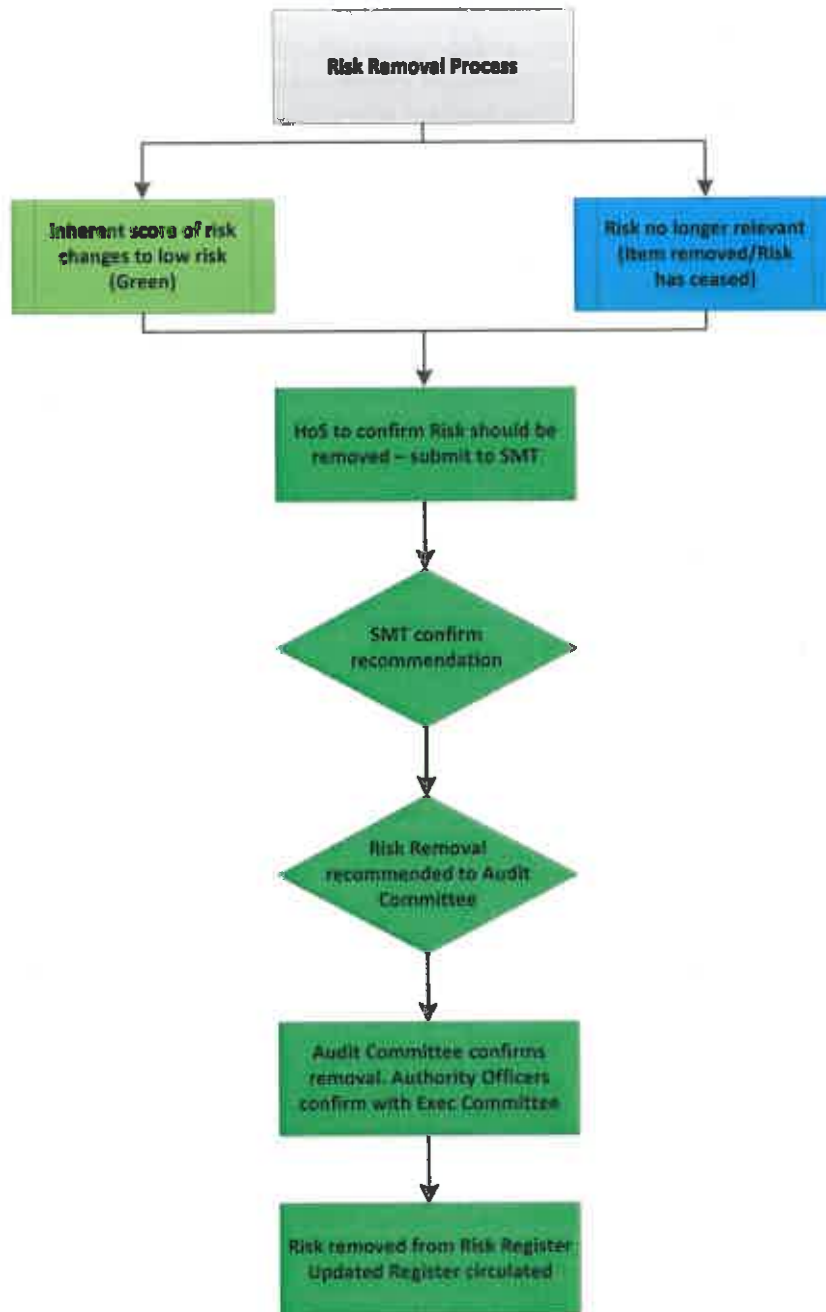
Any risks that increase in severity from amber to red should be confirmed by the relevant lead and communicated to the Business Continuity Co-ordinator. These would be flagged up at the next available Executive Committee meeting by Authority Officers, with the chair of the Audit Committee present and Audit Committee Members copied in.

Any risks that have become no longer relevant due to changes in conditions or removal of the specific risk (e.g. due to the end of a process such as procuring a large contract) can be removed at the instigation of the risk lead if the Inherent risk is now within the green zone.

**Risk Addition Flowchart**



**Risk Removal Flowchart**



**Reviewing, Reporting and Updating the Authority Corporate Risk Register – Member Committees**

It will be the responsibility of the Audit Committee to review the Authority Corporate Risk Register (and any sub-Risk Registers) at their programmed meetings. On completion of the meeting, the Audit Committee will recommend to the Executive Committee any changes or areas of medium to high risk that are of concern. The relevant Authority Officers (supported March 2022.



by the Chair of the Audit Committee) will present these areas within a report to enable the Executive Committee to understand the ramifications of any areas of concern and enable them to assume ownership of the risks.

Once the Executive Committee have agreed the status of the risks, a report will be taken to the next full Authority Meeting for information/awareness.

In the event of any additional risks that emerge in the interim or changes to the severity of the risk, the Authority Corporate Risk Register will be amended. These amendments would be flagged up at the next available Executive Committee meeting by Authority Officers with the chair of the Audit Committee present and Audit Committee Members copied in for information. Once the Executive Committee have agreed the addition, this confirmation will be forwarded to the Audit Committee for ratification of the amended Risk Register.

## Internal Forms

- Service Improvement Plan (SIP)
- Asset Register
- Facility/Service Specific Risk Register
- Business Continuity Risk Assessment
- Business Impact Analysis Template
- Disaster Recovery Plan Template

## External Forms

- N/A

## Sources of Information

- Authority Risk Register
- LFA Targets

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## Objective

It is the objective of Lee Valley Park Regional Authority to ensure that all facilities open to the public and other users are managed to ensure they remain operational despite failure of areas/equipment.

## Responsibilities

It is the responsibility of the (Facility/Service) manager to ensure that a Business Continuity Risk Assessment (BCRA) process is followed and that the assessment for the Facility is completed and forwarded to their relevant Head of Service for inclusion in the overall BCRA and Risk Register. This Risk Assessment will form part of the Business Continuity Plan for the facility/service.

## Scope

This procedure covers the production of the Business Continuity Risk Assessment and the range of requirements for the site in operational state.

This procedure covers the following points:

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# Business Continuity Risk Assessment

Issue 2

## Detail

### Business Continuity Risk Assessment Process

During the initial phased set up of any site and annually thereafter, the site manager, their team and support staff from head office will analyse all processes that could affect the management and operational functions of the site.

Once these items have been collated, a Business Continuity Risk Assessment (BCRA) looking at the risk of specific items, implications of that risk, potential impact and risk mitigation will be completed and forwarded to their Head of Service. This will be used to ensure that any high probability or high impact items are listed on the Risk Register and also the Asset Register for the facility. The Business Continuity Risk Assessment procedure will form part of the Normal Operating Procedures for each facility/service.

An example assessment of risk based on event type begins on page 8. The purpose of this assessment is to help officers identify those events that have a higher likelihood of adversely impacting their operations so as to help them prioritise their prevention and mitigation strategies. With the impact of the Covid-19 pandemic, officers should ensure they factor in all the additional assessments this has generated for their facility/service.

#### **Department**

In the first column of the form, list the department the Risk Assessment applies to.

#### **Risk Area**

This column covers the specific areas of risk within the department. These areas can be greater or lesser dependant on the department they apply to and is for the specific risks to be outlined which could affect the facility and the community.

#### **Inherent Risk Score**

In these columns list the impact and likelihood (both on a scale of 1 to 9). Potential risk events to consider include, but are not limited to, those listed below and how likely they are to happen, combined with what the Impact could be:

Natural hazards	Man-made events	Technology-caused events
Tornadoes/Hurricanes	Explosion/fire	Computer systems failures/compromise
Floods	Transportation accidents	Electronic data loss/corruption
Earthquakes	Vandalism	Software or application corruption
Lightning	Terrorism/bomb threats	Ancillary support equipment breakdown
Snow, ice, hail	Industrial accidents	Telecoms/internet disruptions
Landslides	Financial	
Wildfires		
Biological (pandemic viral)		

## Business Continuity Risk Assessment

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infections)		Energy/power/utility failures/outages
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This list is not exhaustive and should be amended to meet the needs of each facility/service.

### **Lead**

This is to indicate the relevant lead officer responsible for the Facility/Service and who will normally be the person completing the Risk Assessment.

### **Impact**

In the Impact column, rate how each event's impact on the business/staff/customers.

Facilities/services should consider the human, property, operations and environmental impact of any event. These are scored on a scale of 1 to 9 and should consider both internal and external resources.

Impacted area	Comments and considerations
Human impact	Analyse the possibility of death or injury. Consider the need for staff to work from home if self-isolating from a pandemic and their mental health.
Property impact	Consider the potential for loss or damage to property. Property includes buildings, machinery, equipment, electronic equipment, raw materials and finished products/goods. Considerations include: Cost to replace Cost to set up temporary replacement Cost to clean or repair Cost for additional safeguards (screens, signage etc.)
Operations impact	Consider the potential loss of market share factoring in areas such as; Business interruption Employees unable to report to work Customers unable to reach the facility Closure of the facility due to government edict Interruption of critical supplies Interruption of product distribution Company's potential breach or violation of contractual agreements Imposition of fines, penalties or legal costs
Environmental Impact	Considerations include: Chemical or hazardous materials spill Damage to water resources Air pollution Ground contamination



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### **Likelihood**

This is how likely such an event may happen. Also scored on a scale of 1 to 9 , in combination with the Impact, this will create the Inherent Risk Score.

### **Existing Controls**

Assess the controls currently in place to manage these risks.

### **Residual Risk Score**

In these columns again list the impact and likelihood (both on a scale of 1 to 9). However, these scores may be lower than the inherent risk score due to additional risk mitigations put in place to reduce the risk.

### **Source of Assurance**

This will be the department/team/officer that will supply the necessary support/back up to ensure that any additional controls required can be put in place and monitored.

### **Impact**

In the Impact column, rate how each event's impact on the business/staff/customers after mitigation/additional controls are put in place. These are scored on a scale of 1 to 9 and should consider both internal and external resources.

### **Likelihood**

This is how likely such an event may happen after mitigation/additional controls are put in place. Also scored on a scale of 1 to 9 , in combination with the Impact, this will create the Residual Risk Score.

For each of the risks the response in the column 'Treat, Transfer, Terminate, Tolerate' can be categorised into one of the following;

Treat	Controls are put in place to help reduce the likelihood of a risk being realised.
Transfer	Action is taken to transfer the potential impact to another party, e.g. through an insurance arrangement.
Terminate	A decision is made to end the area of activity with which the activity is associated.
Tolerate	A decision is made to accept the current level of exposure without taking any further action.

### **Further actions needed to reduce Risk**

This column is used to add in the additional mitigation/control measures that can reduce the Residual Risk Score.

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### ***Deadline for completion of actions***

This column is used to note the deadline that the further actions must be completed/checked by to ensure the Residual Risk Scored is maintained or improved.

### ***Officers Responsible***

This will normally be the Facility/Service manager unless any specific actions require this to be another HoS.

### ***Comments***

This column is for any additional comments that may be pertinent to the specific risk e.g. a temporary situation that has a limited time scope.

### ***Internal/External Resources***

When reviewing each risk, officers should factor in both internal and external resources when considering how each risk can be managed.

### ***Internal resources***

Assess the facility/services ability to respond to the event based on internal resources. Consider each potential event from beginning to end and each resource that would be needed to respond. For each event, ask "Do we have the required resources and capabilities to respond?"

### ***External resources***

Similarly, assess the facility/services ability to respond to the event based on external resources. Consider each potential event from beginning to end and each resource that would be needed to respond. For each event, ask "Will external resources be able to respond to this event as quickly as we may need them, or will they have other response priorities?"

### ***Risk Mitigation***

Finally, evaluating the impacts of the hazards and comparing the probability, document if there are adequate strategies to prevent the hazard from occurring or if there are strategies in place to mitigate the impacts from the hazard. For example, you may need to:

- Develop additional emergency procedures
- Conduct additional training
- Acquire additional equipment
- Establish mutual aid agreements
- Establish agreements with specialised contractors

## **Example Risks and Mitigations**

Department	Risk	Potential Impact	Risk Mitigation	Additional Requirements/Comments
Finance/IT	Booking system Failure – unable to process	Loss of trade, PR fallout, loss of return business, loss of income	Back up sheets printed, manual till operation	Reserve till to be purchased. Officers to confirm vendors have placed print option on system and arranged training for managers on print outs

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	bookings			
Finance	Security Firm does not attend to collect banking	Safe limits exceeded – insurance risk	Emergency call out numbers for Security firm.	Look at limits for all safes, purchase an additional 'day' safe. Safe make and model to be sent to Finance for insurers to agree safe limits
Finance	Chip & Pin machine failure	Loss of income, loss of trade	Take cash only?	Knowledge of local cash machines in the area. Direct customers to online booking system
Finance	Finance	Failure of Purchase Order System	Inability to order stock, consumables, loss of income	Site manager to have use of authority credit card
IT	Booking System Failure	Loss of trade, PR fallout, loss of return business, loss of income	List of call out numbers available for vendor/IT support, system reboot procedures in place.	IT support available for non-IT staff to ensure they can be talked through system re-boot if required.
IT	Phone system fails	Loss of trade, PR fallout, loss of return business, loss of income	IT to supply BT emergency contact details, system engineer details	Consider backup issuing a mobile number on website that can be available in emergency
Health and Safety	Serious Incident or Accident	PR fallout, legal issues, insurance costs	Emergency Action Plan in place, Risk Assessments completed, staff training records. Accident/Incident forms. Contact details listed as per FIMP – copy kept in Incident Management Pack at reception along with other places as listed on FIMP	Accidents/Incidents reported as per 'Accident/Incident Reporting Procedure on LVQMS, Serious Incidents reported/dealt with as per Facility Incident Management Plan procedure on LVQMS (FIMP)
Health and Safety	Pandemic or other contagious illness reducing staffing levels	Loss of site cover, inability to safely staff site, inability to offer booked or other facilities	Use of large pool of 'Casual' employees for customer critical operations, multi trained staff available from other sites	Need to increase levels of staff trained in ELMS for reception cover. 'Pandemic Viral or Infectious Disease Planning' procedure available on LVQMS when required

## Updating the Business Continuity Risk Assessment

It will be the responsibility of the facility/site manager to update/review the Business Continuity Risk Assessment on an annual basis or as required. This will be in the case where there have





# **Business Continuity Risk Assessment**

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been changes to systems, equipment infrastructure etc. and will need to cover all changes to the current Business Continuity Risk Assessment that will be required to ensure continuity of the business of the site. The Business Continuity Risk Assessment will be fully re-assessed every two years.

## **Review**

September 2022

### **Site Specific Forms**

- SIP
- Asset Register
- Business Continuity Risk Assessment

### **Sources of Information/External forms**

- Authority Risk Register
- LFA Targets

### **Changes from Last Issue**

Responsibilities, Scope and Detail all revised



**Business Continuity  
Risk Assessment  
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**Appendix A: Business Continuity for IT (Example RA)**

## Appendix A: Business Continuity for IT (Example RA)

RISK REGISTER		Section: ICT		Date: Updated 15 Jan 2021		Priority		Impact		Status		Responsible		Comments	
ID	Asset	Value	Impact	Prob	Conseq	Exp	Defect	Prob	Conseq	Exp	Defect	Prob	Conseq	Responsible	Comments
CT1	Server Failure (Data Storage)	9	4	36	High	7	2	28	High	7	2	28	High	ICT Dept	IT (Business systems) is at risk of stopping. Data stored on this server is critical. Backup is in place.
CT2	Server Failure (Data Storage)	9	4	36	High	7	2	28	High	7	2	28	High	ICT Dept	IT (Business systems) is at risk of stopping. Data stored on this server is critical. Backup is in place.
CT3	Core System Failure - Backup	9	4	36	High	5	2	18	High	5	2	18	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.
CT4	Core System Failure - Backup	9	2	18	High	5	1	5	High	5	1	5	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.
CT5	Core System Failure - Backup	9	4	36	High	5	2	18	High	5	2	18	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.
CT6	Core System Failure - Backup	9	2	18	High	5	2	18	High	5	2	18	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.
CT7	Core System Failure - Backup	9	4	36	High	5	2	18	High	5	2	18	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.
CT8	Core System Failure - Backup	9	4	36	High	5	2	18	High	5	2	18	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.
CT9	Core System Failure - Backup	9	4	36	High	5	2	18	High	5	2	18	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.
CT10	Core System Failure - Backup	9	4	36	High	5	2	18	High	5	2	18	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.
CT11	Core System Failure - Backup	9	4	36	High	5	2	18	High	5	2	18	High	ICT Dept	Backup system being tested. Data stored on this server is critical. Backup is in place.

Item	Item Description	Priority	Score	Impact	Control	Responsible	Start Date	End Date	Frequency	Review	Notes
CT1	IT Support - IT Support services critical to business operations	High	27	High	IT Support	Head of IT	1	25	11	High	IT Support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT2	User Access - User Access	High	42	High	IT Support	Head of IT	2	25	11	High	User access is critical to business operations. A loss of user access would result in a significant loss of business operations.
CT3	IT Support - IT Support	High	23	High	IT Support	Head of IT	3	23	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT4	IT Support - IT Support	High	26	High	IT Support	Head of IT	4	26	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT5	IT Support - IT Support	High	22	High	IT Support	Head of IT	5	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT6	IT Support - IT Support	High	22	High	IT Support	Head of IT	6	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT7	IT Support - IT Support	High	22	High	IT Support	Head of IT	7	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT8	IT Support - IT Support	High	22	High	IT Support	Head of IT	8	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT9	IT Support - IT Support	High	22	High	IT Support	Head of IT	9	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT10	IT Support - IT Support	High	22	High	IT Support	Head of IT	10	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT11	IT Support - IT Support	High	22	High	IT Support	Head of IT	11	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT12	IT Support - IT Support	High	22	High	IT Support	Head of IT	12	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT13	IT Support - IT Support	High	22	High	IT Support	Head of IT	13	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.
CT14	IT Support - IT Support	High	22	High	IT Support	Head of IT	14	22	11	High	IT support services are critical to business operations. A loss of IT support services would result in a significant loss of business operations.