

# Corporate Policy Review Plan 2021/22

## Agenda Item 9

### National Park Authority Audit & Risk Committee Meeting

Tuesday 9<sup>th</sup> March 2021

Paper for information

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#### 1. Purpose

- 1.1. The purpose of this paper is to confirm the list of corporate policies that we intend to review in 2021/22.

#### 2. Recommendation

- 2.1. To note the report.

#### 3. Contribution to National Park Partnership Plan and/or Our 5-year Plan

- 3.1. This contributes towards the commitment within Our 5 Year Plan to continuously improve and develop resilient systems, processes and services.

#### 4. Background

- 4.1. At the December 2020 Audit & Risk Committee meeting we presented a new process for updating the Committee on progress on policy reviews, as follows:

- A. Each policy will be allocated a risk rating of low, medium, or high. The rating is based on the level of organisational risk associated with a delay to a review of the policy.

- B. As a rule of thumb, high risk policies will be reviewed annually, medium risk policies every three years, and low risk policies every five years. If there are particular reasons to update an individual policy sooner or later than these timescales, we will adjust our approach accordingly. An earlier or later review could arise from an identified management need (eg efficiency, effectiveness or broader corporate goals), from an internal audit of an area, or from changes to the external environment (eg new statutory requirements).
- C. At a minimum, policy reviews will check that the policy is still compliant with statutory requirements and in line with broader organisational development since its last review. In some cases policy reviews may be more comprehensive depending on the priorities of the organisation or the level to which the external environment has changed.
- D. Each year at its March meeting, we will present the Audit & Risk Committee with our policy review plan for the year, setting out which policies will be reviewed through the year.
- E. We will provide progress reports to the Audit & Risk Committee at the mid-way point of the year (September meeting) and at the end of the year (March meeting). The reports will highlight which policies on the annual plan have been reviewed and which have not.

## **5. Review plans**

5.1. The full 5-year plan for policy reviews is at Appendix 1. This will be reviewed yearly.

5.2. As shown in Appendix 1, we plan to review 18 corporate policies in 2021/22.

## **6. Risks**

6.1. Staff capacity to review the policies remains the biggest risk to this process. Over the course of 2021/22 we expect staff capacity to improve through our increased budget allocation, which will help ensure we have the resources needed to complete these reviews.

## **7. Next steps**

7.1. We will update the Committee in September on progress against the plan, and provide a final report in March 2022.

## **8. List of appendices**

Appendix 1 – 5-year Corporate Policy Review Plan

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**Executive Sponsor:** Gordon Watson, CEO

## Appendix 1: 5-year Corporate Policy Review Plan (as of March 2021)

| Document   | Last Review             | 21/22 | 22/23 | 23/24 | 24/25 | 25/26 |
|--|-------------------------|-------|-------|-------|-------|-------|
| <b>Governance</b>  |                         |       |       |       |       |       |
| Whistleblowing   | 19/20                   |       |       |       | X     |       |
| Complaints   | 20/21*                  |       |       |       |       | X     |
| Data Protection  | 18/19                   |       |       | X     |       |       |
| Freedom of Information and Environmental Information               | 17/18                   |       | X     |       |       |       |
| Digital preservation   | Planned for development |       |       |       |       |       |
| Unacceptable Behaviour   | 20/21*                  |       |       |       |       | X     |
| Records Management Plan  | 19/20                   | X     | X     | X     | X     | X     |
| Staff Register of Interests  | 16/17                   | X     |       |       |       |       |
| Fraud, Bribery and Corruption                                      | 17/18                   | X     |       |       | X     |       |
| Privacy and Cookie Policies  | 20/21                   |       |       |       |       | X     |
| <b>Estates</b>   |                         |       |       |       |       |       |
| Room Hire & Booking  | 17/18                   |       | X     |       |       |       |
| Driving and Vehicle  | 20/21                   |       |       | X     |       |       |
| Electrical Compliance  | 19/20                   |       |       |       | X     |       |
| Business Continuity Plan   | 19/20                   | X     | X     | X     | X     | X     |
| Control of Legionella  | 18/19                   |       |       | X     |       |       |
| Building Security, CCTV, Access and Key Control                    | Planned for development |       |       |       |       |       |
| Fire Safety  | 20/21                   | X     | X     | X     | X     | X     |
| <b>ICT</b>   |                         |       |       |       |       |       |
| Information Security   | 20/21                   |       |       | X     |       |       |
| ICT  | 19/20                   |       |       |       | X     |       |
| Cyber incident response plan                                       | 20/21                   | X     | X     | X     | X     | X     |
| <b>Finance</b>   |                         |       |       |       |       |       |
| Delegated Authority  | 18/19                   |       |       | X     |       |       |
| Accounting for Property, Plant and Equipment and Intangible Assets | 18/19                   |       | X     |       |       |       |
| Asset Management (need under review)                               | 11/12                   |       |       |       |       |       |
| Procurement  | 18/19                   | X     |       |       | X     |       |
| Best Value   | 18/19                   |       |       | X     |       |       |
| Budget and Financial Monitoring                                    | 11/12                   | X     |       |       |       |       |
| Income Collection and Management                                   | 11/12                   |       | X     |       |       |       |
| VAT  | In draft                | X     |       |       |       |       |
| <b>Health &amp; Safety</b>   |                         |       |       |       |       |       |
| Accident & Near-Miss and Investigation Reporting                   | 20/21                   |       |       | X     |       |       |
| Automated External Defibrillator                                   | 19/20                   |       | X     |       |       |       |
| Control of Arm Vibration Syndrome                                  | 20/21                   |       |       | X     |       |       |
| Control of Noise at Work   | 20/21                   |       |       | X     |       |       |
| Control of Substances Hazardous to Health (COSHH)                  | 20/21                   |       |       | X     |       |       |
| Display Screen Equipment (DSE)                                     | 20/21                   |       |       | X     |       |       |
| First-Aid  | 20/21                   |       |       | X     |       |       |
| Health and Safety  | 20/21                   | X     | X     | X     | X     | X     |
| Infection at Work  | 16/17                   | X     |       |       |       | X     |
| No Smoking   | 19/20                   |       |       |       | X     |       |
| Personal Protective Equipment                                      | 20/21                   |       |       | X     |       |       |
| Risk Assessment  | 20/21                   |       |       | X     |       |       |
| Whole Body Vibration   | 20/21                   |       |       | X     |       |       |
| Working at Height  | 19/20                   |       | X     |       |       | X     |
| Young Persons  | 20/21                   |       |       | X     |       |       |

| Document                                    | Last Review | 21/22 | 22/23 | 23/24 | 24/25 | 25/26 |
|---|-------------|-------|-------|-------|-------|-------|
| <b>HR</b>                                   |             |       |       |       |       |       |
| Adverse Weather & Disruption                | 19/20       |       |       |       | X     |       |
| Code of Conduct                             | 18/19       |       | X     |       |       |       |
| Disciplinary Policy and Procedure           | 20/21       |       |       |       |       | X     |
| Dignity at Work                             | 20/21       |       |       |       |       | X     |
| Drug, Alcohol and Substance Misuse          | 17/18       | X     |       |       |       |       |
| Equal Opportunities                         | 19/20       |       |       |       | X     |       |
| Flexitime                                   | 19/20       |       |       |       | X     |       |
| Grievance                                   | 20/21       |       |       |       |       | X     |
| Homeworking                                 | 19/20       |       |       |       | X     |       |
| Job Evaluation                              | 17/18       | X     |       |       |       |       |
| Learning and Development                    | 18/19       |       | X     |       |       |       |
| Leave                                       | 19/20       |       |       |       | X     |       |
| Maternity Procedure                         | 17/18       | X     |       |       |       |       |
| My Performance Review                       | 20/21       |       |       |       |       | X     |
| Organisational Change Procedure             | 18/19       |       | X     |       |       |       |
| Pay and Allowance                           | 17/18       | X     |       |       |       |       |
| Performance Improvement                     | 20/21       |       |       |       |       | X     |
| Recruitment and Selection                   | 20/21       |       |       |       |       | X     |
| Retirement                                  | 17/18       | X     |       |       |       |       |
| Shared Parental Leave                       | 18/19       |       | X     |       |       |       |
| Sickness Absence                            | 19/20       |       |       |       | X     |       |
| Understanding and Managing Stress           | 18/19       |       | X     |       |       |       |
| Work/Life Balance                           | 19/20       |       |       |       | X     |       |
| <b>Communications</b>                       |             |       |       |       |       |       |
| Social Media                                | 18/19       | X     |       |       | X     |       |
| Sponsorship                                 | 18/19       |       |       | X     |       |       |
| <b>Visitor Operations</b>                   |             |       |       |       |       |       |
| Visitor Management Engagement & Enforcement | 20/21       |       |       | X     |       |       |
| Protecting Vulnerable Groups                | 18/19       | X     |       |       | X     |       |
| Volunteer                                   | 20/21*      |       |       |       |       | X     |
| <b>Total</b>                                |             | 18    | 16    | 23    | 20    | 17    |

\* Review underway, expected completion by March 2021

### Risk ratings:

High risk – 1 year review

Medium risk – 3 year review

Low risk – 5 year review