

# Corporate Policy Review Plan 2021/22 Agenda Item 9

## National Park Authority Audit & Risk Committee Meeting Tuesday 9th 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 midway 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

Author(s): Pete Wightman, Director of Corporate Services

Executive Sponsor: Gordon Watson, CEO

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

Document	Decument	Loot Doview	24/22	22/22	22/24	24/25	25/20
Whisteblowing	Document	Last Review	21/22	22/23	23/24	24/25	25/26
Data Protection		40/00				V	
Data Protection							V
Piesedom of Information and   17/18					V		Λ
Digital preservation				V	X		
Digital preservation   Planned for development   Covered   Cover		17/18		X			
Unacceptable Behaviour		Dlannad for					
Unacceptable Behaviour	Digital preservation						
Records Management Plan	Unacceptable Pobaviour						V
Staff Register of Interests				V		V	
Fraud, Bribery and Corruption				^	^		
Privacy and Cookie Policies   20/21						V	
Estates			X			X	V
Room Hire & Booking		20/21					X
Driving and Vehicle		47/40		V			
Electrical Compliance				X			
Business Continuity Plan					X		
Control of Legionella							
Building Security, CCTV, Access and Key Control  Key Control  Fire Safety  20/21  Information Security  20/21  ICT  19/20  Cyber incident response plan  20/21  EVAT  Pelagated Authority  Accounting for Property, Plant and Equipment and Intangible Assets  Asset Management (need under review)  Procurement  18/19  Procurement  18/19  Budget and Financial Monitoring  11/12  VAT  In draft  VAT  Health & Safety  Accident & Near-Miss and Investigation Reporting  Automated External Defibrillator  Control of Noise at Work  Control of Substances Hazardous to Health (COSHH)  Display Screen Equipment (DSE)  Prist-Aid  Health and Safety  Love Safety  Accident & Nosmoking  10/21  Avationated External Defibrillator  Control of Substances Hazardous to Health (COSHH)  Display Screen Equipment (DSE)  Personal Protective Equipment  20/21  X  X  X  X  X  X  X  X  X  X  X  X  X			X	Х	X	X	X
Key Control         development         X					X		ļ
Price   Safety   20/21							
ICT							
Information Security		20/21	X	X	X	X	X
C7							
Cyber incident response plan  Finance  Delegated Authority  Accounting for Property, Plant and Equipment and Intangible Assets  Asset Management (need under review)  Procurement  Best Value  Budget and Financial Monitoring  Income Collection and Management  VAT  Health & Safety  Accident & Near-Miss and Investigation Reporting  Automated External Defibrillator  Control of Noise at Work  Control of Substances Hazardous to Health (COSHH)  Display Screen Equipment (DSE)  First-Aid  Health and Safety  A V  Infection at Work	Information Security				Х		
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Procurement		11/12					
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Personal Protective Equipment         20/21         X           Risk Assessment         20/21         X           Whole Body Vibration         20/21         X           Working at Height         19/20         X         X			X				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	No Smoking	19/20				X	
Risk Assessment         20/21         X           Whole Body Vibration         20/21         X           Working at Height         19/20         X         X		20/21			X		
Whole Body Vibration20/21XWorking at Height19/20XX		20/21					
Working at Height 19/20 X X							
				Х			Х
					Х		

Document	Last Review	21/22	22/23	23/24	24/25	25/26
HR						
Adverse Weather & Disruption	19/20				Х	
Code of Conduct	18/19		Х			
Disciplinary Policy and Procedure	20/21					Х
Dignity at Work	20/21					Х
Drug, Alcohol and Substance Misuse	17/18	Х				
Equal Opportunities	19/20				Х	
Flexitime	19/20				Х	
Grievance	20/21					Х
Homeworking	19/20				Х	
Job Evaluation	17/18	Х				
Learning and Development	18/19		Χ			
Leave	19/20				Χ	
Maternity Procedure	17/18	Х				
My Performance Review	20/21					Х
Organisational Change Procedure	18/19		Х			
Pay and Allowance	17/18	Х				
Performance Improvement	20/21					Χ
Recruitment and Selection	20/21					Χ
Retirement	17/18	X				
Shared Parental Leave	18/19		Χ			
Sickness Absence	19/20				Χ	
Understanding and Managing Stress	18/19		Χ			
Work/Life Balance	19/20				Х	
Communications						
Social Media	18/19	Х			Х	
Sponsorship	18/19			Х		
Visitor Operations						
Visitor Management Engagement &	20/21			Х		
Enforcement						
Protecting Vulnerable Groups	18/19	X			X	
Volunteer	20/21*					X
Total	1- 1' h \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	18	16	23	20	17

<sup>\*</sup> Review underway, expected completion by March 2021

### Risk ratings:

High risk - 1 year review

Medium risk - 3 year review

Low risk - 5 year review