



REVIEW OF PERFORMANCE AGAINST CODE OF CORPORATE GOVERNANCE
1 APRIL 2017 TO 31 MARCH 2018

(A) Core Principle

Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of Law

Sub Principle: A(1) Behaving with Integrity

We will:

- (1) Embed in the way we work our organisational values of:
 - People matter – so we have a supported, empowered, respected workforce;
 - Performance matters – so we do what we say we will do and do it well;
 - Communities matter – so we take a positive approach and work with communities;
 - Every day matters – each day offers an opportunity to do something positive.
- (2) Ensure that standards of conduct and personal behaviour expected of Members and Officers is defined, communicated (internally and externally) and monitored through codes of conduct, protocols and advice.
- (3) Ensure that our decision making processes are open, transparent and free from bias and conflicts of interest.
- (4) Have in place a framework of policies and processes that support good governance in all that we do; we will review and improve these in response to feedback and evaluation of effectiveness.

What evidence/assurance is in place?

- Codes of conduct for Members and Officers with conduct included in Member and Officer induction.
- Supplementary advice on behaviour of Members and Officers in Committee;
- Protocol on Development Control and Planning Policy in place;
- Registers of Members and Officer interests and guidance with annual review by Monitoring Officer;
- Member and Officer gifts and hospitality register and guidance with annual review by Monitoring Officer;
- Member Standards included in Audit, Resources and Performance Committee (ARP) Terms of Reference;
- Nolan Principles are incorporated into Member Code of Conduct;
- Procedures in place to consider code of conduct complaints against Members which are reported to ARP as part of the quarterly performance report;
- Complaints policy in place and individual complaints are monitored and reported to ARP quarterly with

lessons learned;

- Declaration of Interests is a standing agenda item at meetings and Members are provided with a pro-forma to record interests as they prepare for the meeting. Minutes of meetings of the Authority and its Committees show that declarations of interest were sought and recorded;
- Due Diligence Panel established with Annual Report reviewed by ARP;
- Anti-Fraud and Corruption Policy and Whistleblowing (Confidential Reporting) Policy in place with regular review against CIPFA code with the Chair and the Vice-Chair of ARP advised of any allegations and the outcome of investigations. Our Contract Procedure Rules and standard terms and conditions for contracts refer to these policies;
- Information management policies framework (including E-Policy);
- Data Protection Charter with tools to ensure compliance.

Review of action and assurances indicating maintenance/improvement to effectiveness

- During 2017/18 No Member Code of Conduct complaints were received.
- A summary of all complaints from members of the public are reported to ARP in the quarterly performance report. The report includes information of the outcome of the complaint, management action taken and lessons learned from the complaint.
- Derbyshire Police has been investigating allegations from a member of the public regarding fraud. The Authority has engaged with the investigating officers and responded to requests for information from the police which have been processed in accordance with the Anti-Fraud and Corruption Policy and data protection legislation.
- Completed the Monitoring Officers annual review of Officers' and Members' Register of Interests and the registers of Gifts and Hospitality.
- Following the AGM in July 2017 all Authority Members were asked to review and update their entries in the Register of Interests.
- The annual report of the Due Diligence Panel has been received by ARP Committee.
- In the 2015/16 AGS the ability to make sure the organisation's culture/mind-set embeds our values on ways of working:- people matter, performance matters, community matters and everyday matters was identified as an issue which may affect effectiveness. This remains as a continuous conversation in team cascades and performance monitoring reviews with Officers. In the 2016/17 AGS it was recognised that the Senior Leadership Team continued to strive to demonstrate these values in how they operate and it was acknowledged that this would be developed as part of the development of the Operational Leadership Team and is identified as priority for focus in 2017/18 with the focus internally on the health of the organisation. This therefore remained as an issue that may affect effectiveness.
- To pick up on these values the SLT leadership development programme has identified, an aspiration to develop the organisation into a coaching/learning organisation. SLT have recognised that it can carry on as before and things will remain the same, and the Authority will be ok and continue to survive as an organisation, or they can develop the potential of the organisation by developing the potential of the people so that we thrive as an organisation. SLT are focussed on developing the potential of the organisation so that it thrives with the values SLT have set themselves to be open-minded, active in their listening, respectful and courageous. This has been developed further with the ongoing OLT development programme. During this programme the CEO has set out her expectations with OLT in the following areas:
 - Our job is clear – to speak up for and nurture the Peak District National Park for all to enjoy forever.
 - Why do we do this – the National Park movement started here. Our core principles about promoting access to and caring for this beautiful landscape are as relevant today. Our history runs deep within our culture, it defines us. Our challenge is not to allow this history to confine us, and instead ask how can our history enable us to stay relevant now. So we continue to be pioneering beyond our boundaries and our time for the Peak District National Park to develop and prosper.
 - How we will do this – is about our culture and the capabilities, for the CEO this is about respectfully recognising the contributions we all make, being open-minded so we remain curious and think beyond our brief, to actively listen to seek to understand our own and others motivations, and to have the courage to constructively challenge each other to uphold these values. Underlying this all is trust – as this leads to empowerment to achieve outcomes and moves away from a controlling and constrained environment.
 - As a leader in the Authority the CEO has asked every member of OLT to work across the 4 remits of OLT (lead for the organisation, develop the business, lead their people and manage

their business and to increase their focus on their contribution to leadership. This is being followed up by Directorate, 1:2 development and mixed Directorate conversations to develop the values.

- This has also been trailed by the People Matter Action Plan which is a set of actions picking up directly on the results from the staff survey.
- Further work to refine the values to share with all staff is being completed in Q4.

Issues identified which affect effectiveness

1. Introducing and embedding the Authority's revised vision, mission and seven ways of working "We always...." will require active management, clear and consistent communications and demonstrate evidence of conformity.

Sub Principle: A(2) Demonstrating a strong commitment to ethical values

We will:

- (5) Embed our standards of behaviour and values underpinning the way we work in job descriptions, the competency framework and JPAR process.
- (6) Ensure our HR, governance and procurement policies and procedures promote and support our values and standards and use every opportunity to promote our standards of behaviour and the values underpinning the way we work through for example:
 - Organisational development programme;
 - Leadership group development;
 - Corporate Learning and development programme;
 - Communications strategy;
 - Member Learning and Development Programme.
- (7) Communicate to others who work with us our expectations for compliance with ethical standards through:
 - Service level agreements;
 - Contracts and procurement processes;
 - Partnership agreements;
 - Sponsorship agreements.

What evidence/assurance is in place?

- Checking ethical compliance at governing body level though promoting good behaviour and annual Monitoring Officer checks;
- In the Member Survey we ask a question to test awareness of ethical standards and how individual Members contribute to maintaining them;
- The Chair of ARP and the Leadership Team are involved in preparing the Annual Governance Statement and it is considered and approved by ARP following scrutiny by the external auditors;
- Employee terms and conditions, competency framework and completed JPAR forms;
- Delivering an ongoing programme of ethical awareness training and including a session on standards and ethics in the annual compulsory planning training delivered to all Members;
- Resources Policies and Procedures;
- Member Learning and Development Plans;
- Joint Performance and Achievement Review Process;
- Corporate training programme and developing the Leadership Group;

- Procurement Strategy and Contract Procedure Rules;
- Conduct included within revised employee statement of terms and conditions;
- Tender and contract documentation including Standing Orders;
- Due Diligence Panel (DDP), chaired by the Monitoring Officer, looks at issues such as reputation and environmental impact when considering giving and sponsorship offers;
- Registers of in-kind and financial sponsorship and giving under £5,000 reviewed by the DDP every 6 months with offers over £5000 being considered on a case by case basis;
- Register for additional employment over grade H.

Review of action and assurances indicating maintenance/improvement to effectiveness

- In October 2014 The DDP was set up as part of the Authority's Policy on Working with Businesses, Organisations, Individuals and Groups of Individuals on Sponsorship, Philanthropy and Legacies The 2016/17 annual report of the DDP has been considered by ARP. During 2016/17 the DDP met four times and considered the following items:
 - Agreed to accept a legacy from a former volunteer ranger's estate
 - Agreed to accept a legacy from a relative of a former, deceased Member
- All decisions made below a £5000 threshold are recorded through the finance system where a financial transaction is made with a report being made every six months by the Head of Finance to the DDP for review and recorded on a register where the transaction is an in-kind transaction with a report being made every six months by the Democratic and Legal Support Team to the DDP for review.
A(2)1
- Every two years the Authority carries out a survey of Members to get feedback on the following areas:
 - Strategic and External Leadership
 - Governance and Scrutiny
 - Contribution and Development
 - Communication
 - Community Engagement
- In April 2017 Members received the findings of 2016 Survey and proposals to take further action on 9 issues identified.
- At the close of the 2016 survey 24 of the 29 Members in post had provided a response (82%) 18 Members responded in 2014 (60%), 22 in 2012 (73%), 21 Members responded to the survey in 2010 (73%) and 23 (75%) in 2008.
- The most significant proposed action is to take a recommendation to the 2017 AGM to replace meetings of the Strategic Advisory Group with an all Member Discussion Forum. It is suggested that this approach will address a number of issues identified in the survey analysis.
A(2)2
- The compulsory annual Member planning training events were held on 29 September 2017 and 27 October 2017, with those Members unable to attend either of these being provided with training in March 2018. In the 2016 Members Survey 66% (15) of Members responding agreed that they were aware of the Authority's ethical framework and how they contribute to maintaining high ethical standards. 30% (7) Neither agreed nor disagreed and 4% (1) did not know.

Sub Principle: A(3) Respecting the rule of law

We will:

- (8) Progress achievement of our Corporate Strategy through full use of our powers and in doing so:
- identify any risks of legal challenge as appropriate;
 - ensure Members and Officers receive legal advice on case work and policy/procedure development

- as appropriate;
- ensure appropriate Standing Orders are in place.

- (9) Support the Chief Finance Officer and Monitoring Officer roles through protocols, direct access to Members and the Chief Executive and involvement in key decision making processes.
- (10) Ensure both the Chief Finance Officer and Monitoring Officer have appropriate resources to fulfil their roles as required by the legislation.
- (11) Respond to any external or internal advice or comments received on the legality of our decisions, policies, processes and procedures including from the Chief Finance Officer and Monitoring Officer.
- (12) Respond to any allegations of corruption and misuse of power in accordance with our framework of policies.

What evidence/assurance is in place?

- Standing Orders are regularly reviewed and updated;
- External scrutiny by external audit, internal audit, Local Government Ombudsman, Defra, HM Revenue and Customs, Department for Work and Pensions and Department for Communities and Local Government and Housing Act;
- Three statutory roles in place of:
 - Head of Paid Service;
 - Chief Finance Officer (also Member of RMM) (s114 Finance Act 1988);
 - Monitoring Officer (Supported by Deputy Monitoring Officer role) (s5 Local Government and Housing Act 1989);
- Job descriptions and Learning and Development plans are in place for individuals holding the above roles;
- Compliance with CIPFAs Statement on the Role of the Chief Financial Officer in local government;
- CFO is actively involved in all material business decisions and strategy development;
- Monitoring Officer Protocol is in place;
- Job descriptions for the Chair and Authority Members;
- Outside Body advice to Members appointed to an outside body;
- RMM procedures to make sure internal consultation takes place on proposals;
- Leadership approach with “voices round the table” making sure the relevant staff are involved e.g. Corporate Property Officer;
- Legal Team Work Programme in place to support the Corporate Strategy;
- Legal risks identified in delegated reports and reports to committees and Resources Management Meeting;
- Delegation to Officers indicates where delegated decisions need sign off from Legal Services;
- VfM Review on Legal Services;
- Arrangements in place to report to relevant bodies when issues arise e.g. Health and Safety, Safeguarding, Fraud and Corruption, Data Protection;
- Anti-Fraud and Corruption and Confidential Reporting policies in place and are regularly reviewed against the CIPFA code of practice on managing the risk of fraud and corruption;
- Examples of cases where policy has been tested;
- Standards Framework in place including the Authority’s arrangements for considering complaints against Members.

Review of action and assurances indicating maintenance/improvement to effectiveness

- The Authority has a duty to keep its constitutional documents up to date. The Authority has not delegated its ability to update and amend Standing Orders. The Authority approved changes to Standing Order 1.34 (2) so that Deputy Monitoring Officer is included in list of officers authorised to attest to the sealing rather than a Deputy if other named officers are unable to act. The Authority also agreed changes to the Delegation to Committees, Sub-Committees and Advisory Groups. To clarify the Audit Resources and Performance Committee’s audit functions and reflect guidance from the Chartered

Institute of Public Finance and Accountants (CIPFA) on Audit Committees.

A(3)1

- The Leadership Team received an update report to clarify the Authority's responsibilities under the General Data Protection Regulations, a summary of the work already carried out and actions that needed to be completed in advance of the implementation date. It was confirmed that the Records and Information Manager post should be assigned the role of Data Protection Officer (DPO) for the Authority.
- A3(2)
- Received a positive unqualified opinion on the statement of accounts and a satisfactory conclusion on value for money from our external auditors,
 - Responded to four internal audit reports on Procurement, Planning, Main Accounting, Creditors, Health and Safety and Performance Management all of which were given a Substantial level of assurance. The Authority also responded to an audit report on Risk Management which was given a high level of assurance and an Information Governance Compliance check with a reasonable level of assurance Managers have responded to 12 Priority 3 actions and 2 Priority 2 actions.
 - The 2017/18 annual assurance report from the internal auditor states: the overall opinion of the Head of Internal Audit on the framework of governance, risk management and control operating in the Authority is that it provides Substantial Assurance. There are no qualifications or significant control weaknesses which in the opinion of the Head of Internal Audit need to be considered for inclusion in the Annual Governance Statement.
 - Decided, in reviewing our performance against our Code of Corporate Governance, that any area where the Authority has received a limited level (or no level) of assurance from the internal auditors will be identified in our Annual Governance Statement as an issue affecting effectiveness.
 - Responded to complaints investigated by the Local Government Ombudsman (LGO) reporting quarterly to members. For 2017/18: 3 decisions have been received: none closed after initial enquiries (outside jurisdiction) 2 were closed after initial enquiries (no further action) and 1 was not upheld (no evidence of maladministration and injustice). During 2017/18 there were no complaints which were upheld because of evidence of maladministration and injustice.
 - The Authority's arrangements for handling Member Code of Conduct complaints are in place and published, No complaints were received during 2017/18.
 - In the 2016/17 AGS a failure to deliver on Health and Safety Action Plan and ensuring that the Health and Safety Executive and Internal Audit recommendations are completed was identified as an area which may affect effectiveness. During 2017/18:
 - The action plan arising from the Health and Safety Executive's investigation of the Centaur incident has been implemented and the HSE have been notified.
 - In relation to other Health and Safety issues, the Health and Safety Committee continues to meet twice yearly, a major revision of the Authority's Health and Safety Policy and related governance arrangements has been undertaken and is in the process of being implemented. The findings of an Internal Audit review of Health and Safety were reported to the ARP Committee on 19th May 2017. The Internal Auditors opinion was that the current procedures provide a "High Assurance" (the top rating) and represent a very good management of risk.
 - The new H&S policy for 2018 was formally adopted by the Local Joint Committee on 2nd February 2018. The new policy includes a comprehensive appendix of all H&S policies including the date of last revision and named responsible officers. [Please CLICK HERE to access the 2018 review of H&S policy and related policy documents]

Issues identified which affect effectiveness

2. The Government launched a 25 year plan to improve the environment on 11 January 2018. The plan proposes a review of National Parks which will look at how designated areas deliver their responsibilities, how they are financed and whether there is scope for expansion. A detailed scope and timetable for the review has not yet been published.

(B) Core Principle**Making sure of openness and comprehensive stakeholder engagement****Sub Principle: B(1) Openness****We will:**

- (1) Support our commitment to a culture of openness and transparency through:
 - Fulfilling our obligations under the Freedom of Information/Environmental Information legislation;
 - Publicising decisions and information through our website and through web broadcasting of our committees;
 - Be open and transparent in all our decision making except, where justified, the exemptions under Schedule 12 of the Local Government Act apply.
- (2) Document evidence for decisions by recording criteria, rationale and data relied upon - using processes proportionate to the impact and risk of the decisions being made.

What evidence/assurance is in place?

- Annual report and Business Plan published;
- Annual Monitoring Report on Local Plan;
- Monthly and Annual Head of Law Reports to Planning Committee;
- Creation of data protection policies, data protection staff training plan and rollout with appropriate tools and monitoring, robust processes where personal/sensitive data is created or used as part of wider operations;
- Use of robust data processor agreements where 3rd parties hold or process personal/sensitive data on the Authority's behalf;
- Freedom of Information Act Publication Scheme and disclosure log;
- Appointment of Senior Information Risk Owner, Lead Information Asset Owner and departmental Information Asset Owners;
- Corporate Strategy 2016-2019 including Directional Shifts, Cornerstones and success measures;
- Financial information such as outturns, accounts and external audit reports published on our website;
- Local Government Transparency Code 2015 - information is published on the website includes spending over £250, credit card spending, tenders, income from parking, organisation structures and senior salaries, trade union facility time, pay multiples, land and property assets;
- Publish information under Section 149 of the Equality Act 2010 (the Public Sector Equality Duties) and the Equality Act 2010 (Specific Duties) Regulations 2011 to publish workforce profile information by "protected characteristics "Gender, age, ethnicity, disability, religion and belief, sexual orientation and pay grade);
- The Equality Act 2010 (Gender Pay Gap Information) Regulations 2017 will require the Authority to publish prescribed information about their gender pay gap results;
- Standing Orders make sure that exempt items are kept to a minimum and where possible an open report is provided to summarise the decision to be made and allow public participation;
- Documents relating to meetings of the Authority and its Committees along with Key governance documents, such as Standing Orders are published on the Authority website;
- Provisions in place allowing reporting on meetings and providing an audio webcast of meetings of the Authority and its Committees;
- Publish work programmes for the Authority and its Committees;
- Committee Reports and Minutes;
- Resources Management Meeting business cases and minutes;
- Standing Orders (Delegation to Committees, Delegation to Officers, Financial Procedure Rules and Contract Procedure Rules);

- Corporate Report Templates that include headings for key areas that must be taken into account in writing reports such as Financial, HR and Legal advice;
- Service protocols on recording decisions/file notes e.g. site visit file notes, HR forms and decisions, tender book;
- Planning and other reports for recording delegated decisions.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Agreed our 2017/18 Performance and Business Plan in line with the Corporate Strategy and Strategic Framework for 2016-19. (See C1)
- The Authority has continued to provide a live audio webcast and listen again facility on the internet for all meetings of the Authority and its Committees. The recordings are retained and published for three years after the date of the meeting.

Sub Principle: B(2) Engaging comprehensively with institutional stakeholders

We will:

- (3) Ensure the National Park Management Plan is a partnership Plan for the place with partners and stakeholders owning the delivery plan for the place.
- (4) Engage with constituent and surrounding councils and stakeholders through a programme of Chief Executive and Member meetings.
- (5) Engage with bodies representative of different voices inside and outside of the National Park.
- (6) Maximise our partnership approach to achieving more for the place through:
 - Strategic National Park Management Partnership Plan process and delivery
 - Operational delivery partnerships;
 - National NPA partnerships;
 - Sponsorship relationships;
 - Shared commissioning of evidence for Local Plans across the wider Peak District.
- (7) Review our relationship management framework.
- (8) Ensure appropriate due diligence, programme management and contractual processes are in place to support partnerships.
- (9) Implement a programme of surveys and research so we can connect more to people and respond to feedback from people who use the National Park and our services.
- (10) Consult and engage communities and stakeholders on the development of our policies and strategies.
- (11) Consult and engage with people on specific actions that might affect them.

What evidence/assurance is in place?

- National Park Management Plan Delivery Plan;
- National Park Management Plan Advisory group and annual report;
- Programme of meetings between Chief Executive and other councils (both constituent authorities councils and the wider peak district authorities) sometimes including the Chair of the Authority and

Leaders;

- Programme of meetings between Chief Executive and other key stakeholders;
- Local Access Forum;
- Annual Parishes Day and regular meetings with the Peak Park Parishes Forum (PPPF);
- Participation in meetings of combined authorities;
- Engagement with Defra and other Government departments;
- LEP Membership;
- Appointments to Outside Bodies and supporting guidance;
- National Park Authority draft Communication and Marketing Strategy;
- Partnership working when preparing bids and delivering externally funded projects;
- Examples of Partnerships such as Moors for the Future (Moorlife 2020) and SW Peak Partnership and Service Level Agreements e.g. Derbyshire County Council for payroll services;
- A range of studies delivered helping to shape Local Plan policies;
- Partnership Policy and Protocol;
- Due Diligence Panel and registers

Review of action and assurances indicating maintenance/improvement to effectiveness

- Accepted funding from Ofgem/National Grid Landscape Enhancement Initiative Fund grants to deliver a series of landscape enhancement projects to deliver landscape scale enhancement of the Longdendale Valley in the National Park. The bid was a partnership approach led by the Peak District National Park Authority (as accountable body) with support from United Utilities, Barnsley Metropolitan District Council (holders of part of the match funding on behalf of the Friends of the Trans Pennine Trail), Friends of the Peak District, Natural England and the Royal Society for the Protection of Birds (RSPB).
B(2)1
- Approved the sixth Operational Plan from the Moors for the Future Partnership. This plan is for the commitments in the financial year 2018/19 and includes a look forward, both at commitments for the following year (2019/20) and the expectations of business development during and beyond this time
B(2)2
- The Authority submitted a funding application to Defra of up to £4.83 million to undertake a Peatland Restoration Project over eight separate sites between 2018 and 2021. This project provided a significant opportunity to secure a viable means of addressing eight remnant bare peat sites without funding through agri-environment schemes or MoorLIFE 2020.
B(2)3
- Marketing Peak District & Derbyshire (MPD&D) the visitor promotion body for the region that incorporates the Peak District National Park and the brand name of the Peak District & Derbyshire Destination Management Partnership Board recently reviewed its governance arrangements. In response to the changes the Authority considered its Member and Officer representation on the Partnership Board and the Local Authority Investor Stakeholder Group.
B(2)3
- The Authority approved a response to housing development proposals considered by Derbyshire Dales District Council on land in close proximity to the National Park boundary.
B(2)5
- During 2017/18 the Authority carried out a review of the National Park Management Plan and went out to consultation with partners, stakeholders and members of the public on the plan and priorities.
[B(2)6] [B(2)7] [B(2)8]
- The National Park Management Plan Advisory Group is made up of partners who represent a broad range of interests within the Peak District National Park with partners chosen to provide a voice for the themes within the vision framework. In 2011, the Authority appointed an independent chair for the group to demonstrate the partnership approach and for them to be an advocate for the NPMP. During 20/17/18 the Authority reappointed Dianne Jeffrey as chair of the National Park Management Plan Advisory Group for the duration of the next National Park Management Plan 2018-23.
B(2)9
- Authority Members received updates on the progress of two major transport proposals with the potential to negatively affect the Peak District National Park. As a result of these discussions the Authority responded to Statutory and Non-Statutory consultation on Highway's England's short term proposal for two link roads to ease congestion in the Mottram Moor and Woolley Bridge areas, west of the National Park boundary and Transport for the North's longer term proposals to improve both road and rail connectivity across the whole of the North focussing on proposals within the South Pennines area and

across the National Park.

[B(2)10] [B(2)11]

- The Authority led a successful funding bid to Visit England/Visit Britain's Discover England Fund for a "Make Great Memories in England's National Parks" project to the value of £1.4million (with a £400k match funding requirement) to deliver a joined up branded collection of signature experiences, business support and trade marketing strategy for a bookable tourism product across the English National Parks. The Authority is the accountable body for a project involving 8 other National Park Authorities as delivery partners who, with the Authority, will be responsible for the delivery of projects within the Scheme. In addition there are supporting partners who will perform an advisory role such as the Destination Management Organisations and Local Enterprise Partnerships operating within the boundaries of the English National Parks.

[B(2)12] [B(2)13]

- The Authority has signed a Letter of Agreement with National Parks Partnerships (NPP) regarding the commercial partnership agreement which NPP are entering into with Columbia Sportswear Company (Columbia) to be the official clothing supplier for 5 years. This commercial partnership with Columbia Sportswear Company is led on behalf of all 15 National Park Authorities. The partnership will provide each National Park uniform and protective clothing and footwear for those selected Member Park employees (currently 2,100 member park staff) who currently are required to wear clothing from their member national park authority free of charge. The partnership also provides media coverage (with Guardian Labs) promoting each National Park individually and National Parks UK as a joint brand partnership. The agreement confers particular rights on both the Partner (Columbia) and on National Parks Partnerships and Member National Parks is expected to run to 31 December 2022.

B(2)14

- With support from the Authority, the Local Access Forum has continued to engage with our constituent Authorities to see how the Forum and the Authorities can work together on issues such as Green Lanes, reviewing Rights of Way Improvement Plans and other rights of way and access issues.
- Continued with programme of meetings between constituent councils and the Chief Executive and Chair.
- The Authority has observer status at any meetings of Derbyshire combined authorities' and has Officer and Member involvement in Sheffield City Region meetings.
- Business Peak District, Nature Peak District and Visit Peak District continue to work together as Enterprise Peak District to produce a package of interventions to attract investment from local Enterprise Partnerships
- Continued our programme of working with local authorities within and on the edges of the National Park at a strategic and operational level to help deepen understanding. This has includes a memorandum of understanding with Derbyshire authorities on the duty to cooperate in relation to planning.
- The Authority has developed a District Deal with Staffordshire County Council to agree a prioritised programme for working together over the next 5 years. This is delivered in partnership between the National Park Authority, Staffordshire County Council, Staffordshire Moorlands District Council and Buxton and Leek College. The current priority areas are: enhance learning and skills in the rural area; enhance and improve the visitor economy; enhance community health and wellbeing; enhance visitor infrastructure: support village growth and sustainability.
- In the 2016/17 AGS the failure of partner organisations to engage with consultation on the review of the National Park Management Plan was identified as an issue affecting effectiveness. During 2017/18 good engagement with partners has been achieved throughout, the process has been achieved through:
 - regular engagement and onwards communications directly and via the NPMP Advisory Group
 - presentations to key partners on the progress with refreshing the Plan and with clear asks for each partner
 - letter to partners seeking their support for the delivery plan before the final consultation.

Sub Principle: B(3) Engaging with individual citizens and service users effectively

We will:

- (12) Underpin our Corporate Strategy objective of enabling everyone to connect with the National Park with a

sound evidence base including:

- Feedback from customers using our services;
- Research on best ways to engage with target audiences;
- Formal consultation processes;
- Feedback from bodies representative of different voices inside and outside of the National Park.

- (13) Update our communications and marketing strategy to support our new outreach programme and make sure it explains how we will feedback on 'you said'- 'we did'.
- (14) Develop an integrated approach to engaging with communities through our new Policy and Communities service.
- (15) Continue to support Members in their community role.
- (16) Ensure our complaints procedures and reporting arrangements are accessible and transparent and monitor our response to complaints received to ensure the Authority learns from that feedback.
- (17) Ensure our long term National Park Management Plan (supported by the Local Plan) gives direction to short term decision making processes so that our aspirations for the condition of the special qualities of the National Park into the future can be achieved.

What evidence/assurance is in place?

- Surveys (Residents, Visitors, Bus Users, Planning, Customer feedback and the Service User Survey (Includes Customer and Business Support, learning and discovery, visitor centres, cycle hire, conservation volunteers and ranger guided walks);
- Use of Park Life, press releases, website and social media to promote current consultations/issue/campaigns;
- Consultation page on Authority Website listing active consultation and how to participate;
- Summary of consultation responses in Committee reports;
- Public Participation at meetings;
- User Groups (e.g. Stanage Forum' Local Access Forum);
- Work with lobbying partners such as CPRE/Friends of the Peak District, National Parks UK, Campaign for National Parks;
- Learning and development programme;
- Outside bodies appointments;
- Member allocations to specific areas of the National Park;
- Evidence of community and stakeholder meetings;
- Collect data for our corporate indicator of the number of people experiencing the benefits of the Peak District National Park from our target audiences of young people (under 25), People living with health inequalities (particularly mental well- being), Volunteers and Supporters (donors);
- Role descriptions in place for Chair, Members and Member Representative Roles;
- Consultation Area of Website;
- Officer Delegation for Planning – Parish Objection brings an application to Committee;
- Statutory duty to consult (e.g Traffic Regulation Orders);
- Responding to consultation from Government and partners;
- Evidenced in Committee reports which includes sustainability heading in the report template;
- National Park Management Plan;
- Communicating in Plain English;

Review of action and assurances indicating maintenance/improvement to effectiveness

- Progressed a Traffic Regulation Order for a route at Wetton running 1.4km from Manor House Farm, south westerly and then south to meet the Leek Road in the Manifold Valley.
B(3)1
- Agreed proposals on how the Authority's strategy for the management of recreational motorised

vehicles would be implemented for the year 2017/18. This included detailed action plans for priority routes, illegal use and communications and updates on the progress made in 2016/17 and an update on progress with voluntary restraint. Members have also received an update on progress in made in 2017/18 and agreed action plans for green lanes, illegal use and communications for 2018/19.

[B(3)2] [B(3)3]

- Approved a business case to award a contract of a value above £50k up to £140K over a 3 year period to replace the current ageing telephony solution. The replacement telephony solution will raise the quality, stability, resilience and availability of the Authority's telephony communications and additional capabilities which will ultimately provide an improved customer experience for partners and stakeholders.

B(3)4

Issues identified which affect effectiveness

3. Partner organisations fail to engage or fulfil their responsibilities/obligations as described in the 2018-2023 National Park Management Plan.

(C) Core Principle**Defining outcomes in terms of sustainable economic, social, and environmental benefits.****Sub Principle: C(1) Defining Outcomes****We will:**

- (1) Clearly communicate the vision and outcomes for the National Park through the National Park Management Plan supported by the Local Plan and the Landscape Strategy and Action Plan providing the strategic direction for the Authority's Corporate Strategy.
- (2) Clearly communicate our three year Corporate Strategy, our medium term financial plan and our one year Performance and Business plan actions and priorities to the public, stakeholders and partners.
- (3) Ensure our three year Corporate Strategy and medium term financial planning processes are aligned and reviewed annually and quarterly in year.
- (4) Put arrangements in place to implement our risk policy and strategy at all levels in the Authority so that informed decisions can be made on what level of risk to accept and what mitigating action needs to be in place to reduce or remove the risk to achieving outcomes.
- (5) Communicate our priorities internally and externally through the three year corporate strategy and Annual Performance/Business Plan.
- (6) Be clear about standards of service to be provided within resources available.

What evidence/assurance is in place?

- Corporate Strategy and Medium term (3-4 years) strategic and financial planning strategy;
- National Park Management Plan (NPMP), National Park Strategies and Action Plans and Annual Monitoring Report supported by National Park Management Plan Advisory Group – includes performance against targets;
- Local Plan (Core Strategy and Development Management Policies) and supporting documents including: Annual Monitoring Reports, Local Development Scheme, Statement of Community Involvement and Supplementary Planning Guidance;
- Annual Performance and Business Plan includes performance against targets;
- Partnership Policy and Protocol and Review;
- Participation in local area forums and local partnerships eg Local Nature Partnership;
- Service Plans including risk registers;
- People and Park connected strategy and action plan;
- Sustainability heading included in report templates;
- Environmental Management Policy and Carbon Management Plan of Action with progress reports;
- Risk Management Policy and Strategy;
- Corporate Risk Register and monitoring;
- Risk based Internal Audit Strategy and Annual Plan;
- Information Technology Disaster Recovery Plan;
- Business Continuity Plan including Crisis Management Procedures;
- Health and Safety Policy, support and annual report to Leadership Team and Local Joint Committee
- Insurance Policies;
- Building security systems;
- Annual Performance and Business Plan;
- Annual Statement of Accounts.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Agreed our 2017/18 Performance and Business Plan. The Business Plan included a report of the Authority's performance over the past 12 months against our 2016/17 transition year plan and success measures, the priority focus for the second year of the 2016-2019 Corporate Strategy and how achievements will be monitored and measured.
C(1)1
- Following approval of the revised timescales for the Business Planning Framework the proposed priority actions for the third year (2018/19) of our Corporate Strategy (2016-19) have been agreed before the 2018/19 financial year begins. Each priority action has been clearly aligned and focussed on achieving the Corporate Strategy and each action has been assigned a lead officer and a lead member to drive progress.
C(1)2
- approved and submitted to the Secretary of State a Statement of Representations and the supporting Schedule of Modifications to the Development Management Policies Document (DPD) and Policies Map as the second part of the Local Development Plan for the National Park. As part of this process the Authority agreed an additional paragraph setting out our approach to major development.
C(1)3
- Applied for Defra funding for capital works and associated project management from the Capital Grant Scheme for the Restoration of Peatland in England fund. The proposed works will treat areas of bare peat within the National Park boundary, as well as the newly designated West Pennines SSSI, addressing remnant areas of degraded habitat adjoining those restored areas within the National Park. The project work area covers 832ha, including an estimated 220ha of bare and eroding peat, of which 36% lies within the NP boundary.
C(1)4

Sub Principle: C(2) Sustainable economic, social and environmental benefits

We will:

- (7) Ensure our strategic and financial planning delivers:
- Our purposes and socio economic duty balancing environmental, social and economic impact;
 - Consideration of conflicting interests informed by our consultation processes;
 - Long term financial sustainability of the Authority through diversifying our sources of funding, supported by a sustainable capital programme;
 - An approximate forecast for short term service and financial decision making.
- (8) Implement our Equalities Policy to ensure fair access to services.

What evidence/assurance is in place?

- Capital Programme;
- Capital Investment Strategy;
- Asset Management Plan;
- Sustainability heading included in report templates;
- Record of decision making and supporting materials;
- Consultation embodied in reports to Committee and delegated decisions;
- Following statutory guidance;
- Customer Service Standards;

- Equalities Impact Assessment of our plans eg Development Management Policies document;
- Performance indicators and success measures for National Park Management Plan, Corporate Strategy and service actions;
- Customer Satisfaction Surveys;
- Complaints procedure and quarterly/annual reports;
- Service and corporate improvement plans.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Continued to improve our own environmental performance: the Authority has demonstrated a 24.9% reduction in carbon emissions since the 2009/10 baseline period. Unfortunately this is below the overall target of achieving a 30% reduction by the end of the 2016/17 year. However, this still represents excellent progress within this area of work and is a relatively small underachievement on what was considered to be an aspirational target when originally set. A new plan is being developed and new targets will be established to cover the period from 2019 to 2024.
C(2)1
- Approved funding of up to £271,000 to support a transformative development project at Pump Farm on the Warslow Moors Estate. The project includes the restoration of a large traditional stone barn and the associated provision of a new base on the Estate to be used by the Authority, the Estate and the local community..
C(2)2
- Approved the allocation of £125,000 to renovate Steps Farmhouse and provide an access track and proposals to then let the house, farmyard (including a traditional building) and possibly a small paddock on a residential tenancy. It was agreed that the Authority would then enter into a 'partnership with the South West Peak Landscape Partnership Glorious Grasslands Project to manage the farmland over the life of the project.
C(2)3
- Authorised the Director of Commercial Development and Outreach to negotiate the early relinquishment of leasehold interests in 10 leasehold woods least meeting the Authority's objectives and other identified sites, subject to further detailed assessment of their value in meeting objectives and when any outstanding works recommended by the Woodland Manager have been completed.
C(2)4
- In response to the requirements of the Town and Country Planning (Brownfield Land Register) Regulations 2017 the Authority made a 10% contribution from the New Burdens funding towards the High Peak and Staffordshire Moorlands Strategic Housing and Employment Land Availability Assessment and with the remainder used to appoint a temporary Brownfield land project officer to assess brownfield potential across the remainder of National Park, compile a brownfield land register and consider policy implications for the Local Plan review and the scope for new housing products such as starter homes, self and custom build homes.
C(2)5
- Approved the removal of hazardous waste materials and various other items of scrap plant, machinery and buildings at Moss Rake East Quarry near Little Hucklow, on Bradwell Moor. Following the clearance the Moss Rake East restoration funding of £120,00 to be used to support a programme of regrading and seeding part of the land in line with the restoration scheme.
C(2)6
- Extended the Predator Control Contract on The Warslow Moors Estate for a maximum 3 year period. Predator control has proved to benefit wading birds on the Estate such as Curlew, Snipe and Lapwing. Much of the Estate is within the Leek Moors SSSI which was designated because of the wading bird population.
C(2)7
- Progressed the disposal of 12 Authority owned woodlands.
- In the 2016/17 AGS it was recognised that although an Asset Management Plan (AMP) was in place this needed to be reviewed so it can be used to inform our strategies over acquisition, enhancement and disposal of assets, and guide the Capital Strategy. There were also questions about whether the Authority has the resources and expertise in place to complete the AMP review.
- During 2017/18 the first stage of a review of the Authority's current structures and processes to support a strategic asset management plan has been undertaken. A proposed revised approach and timeframe

– tied the development of the next corporate plan period (2019-24) – has been signed off by Members. This new approach will deliver greater clarity on the alignment of our assets to our objectives/purposes, and in turn on development and disposal decisions. There remains a question about the extent of the Authority’s resources currently in place to complete the AMP review. It is the opinion of the CPO that the Property Support Team (PST) is currently under-resourced, due to vacancies, to undertake BAU before being asked to contribute to an AMP review. The CPO is supportive of the planned review of the PST’s role, functions and resources due to be undertaken in 2018/19. Similarly, CPO time is also limited as the post-holder has a full-time substantive role.

Issues identified which affect effectiveness

- 4 There remains a question about the extent of the Authority’s resources currently in place to complete the AMP review. It is the opinion of the CPO that due to vacancies the Property Support Team (PST) is currently under-resourced, to undertake BAU before being asked to contribute to an AMP review. The CPO is supportive of the planned review of the PST’s role, functions and resources due to be undertaken in 2018/19. Similarly, CPO time is also limited as the post-holder has a full-time substantive role.

(D) Core Principle

Determining the interventions necessary to optimise the achievement of the intended outcomes.

Sub Principle: D(1) Determining interventions**We will:**

- (1) Deliver our three year Corporate Strategy and Medium Term Financial Plan through:
 - Using research and data to inform recommendations on interventions to achieve our strategy;
 - Seeking and responding to feedback from customers and stakeholders on our services;
 - Agreeing annual priority actions that are key interventions for the forthcoming year;
 - Funded service plan actions flowing from priority interventions agreed;
 - Business case options appraisals.
- (2) Work with partners in delivering the NPMP priority ambitions for the special qualities of the National Park.
- (3) Work with communities through neighbourhood planning and other community planning processes and achieve our ambitions for special qualities.

What evidence/assurance is in place?

- Agenda Planning Meetings and Committee work programmes;
- Contract Procedure Rules and Procurement Strategy;
- Effective procurement processes along with examples of smarter procurement and collaboration;
- Programme of value for money reviews;
- National Park benchmarking;
- External Audit value for money conclusion;
- Annual service and budgeting planning process identifying efficiency savings and different ways of doing things;
- Disposal Guidance;
- Resource Management Team business case process;
- Financial Strategy;
- Consultation results summarised in reports to decision makers;
- Public Participation Scheme for all meetings of the Authority and its Committees.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Prepared and published Local Development Plan Annual Report in accordance with Section 113 of the Localism Act. Progress on Plan making has been good with the strong basis of an adopted strategy and a very constructive period of discussion on development management policy with the local community. The report provided an executive summary of the key issues
 - i. 2017 represents 11 years from the base date of the Core Strategy (2006). As the Core Strategy was only adopted in October 2011 first full monitoring year was 2012/13. Nevertheless, to allow consideration of progress, this year's AMR again presents data for housing delivery from 2006, showing also progress at a spatial (landscape) scale.
 - ii. The Core Strategy estimated delivery of between 615 and 1095 homes in designated settlements by 2026 with an additional 190 estimated outside these settlements (e.g. agricultural dwellings and change of use or conversion).

- iii. Data shows nearly 800 homes have now been completed between 2006 and April 2016 with more committed (with planning permission) some of which are also under construction. Delivery has largely (82%) been directed to parishes with a named settlement.
- iv. Data indicates that a higher proportion of overall dwelling approvals are for open market homes rather than affordable homes.
- v. Overall a higher proportion of delivery has been via change of use and conversion as opposed to new build driven by conservation and enhancement purposes. This is encouraged by the Core Strategy and indicates good conservation returns for the National Park as well as satisfying the duty to have regard for social and economic well-being of the area. Tables highlight higher proportions of new build development in settlements where new build schemes of affordable housing or enhancement driven development has taken place such as in Bakewell, Tideswell, Eyam, Baslow, Bradwell and Bamford
- vi. Key enhancement sites highlighted in the Core Strategy (in Bakewell, Bradwell and Hartington) are all now the subject of planning approvals with the Newburgh engineering site in Bradwell having recently received planning permission supported by an adopted Neighbourhood Plan. Unlocking these strategic sites is a key aim of the Core Strategy and the Authority is working hard to achieve the best results in these important settlements both for National Park purposes and community sustainability.
- vii. Only 1 case was approved by the Authority contrary to strategic principles in the plan and only 4 cases raised issues of worthy of recording in the AMR (in addition to those noted on appeal). While a higher number of appeals have been allowed during the year there continue to be very few cases raising issues for adopted Core Policies on appeal.
- viii. This is welcome and shows that the Authority's decisions and its policies are generally being supported by the Planning Inspectorate. As the Core Strategy was adopted before the National Planning Policy Framework of 2012 it is vital to undertake monitoring of the consistency of adopted policies against the NPPF. The monitoring year realized a higher than average figure in terms of the number of appeals decided (41) and the number of appeals allowed (14 or 34%), however again the cases involved very few issues in terms of the consistency of the plan with the National Planning Policy Framework. The Authority remains positive that changes to emerging Development Management Policies will assist the overall consistency of adopted policies with the Framework.
- ix. As with the previous monitoring years a number of permissions have again been recorded within the Natural Zone and while these are small-scale and related to existing property the impact of this trend is being monitored in order to consider the implications for the wildest parts of the National Park. Similarly a number of low level developments are recorded within flood zone areas although these have not added any significant built footprint.
- x. Adopted policy and supplementary guidance has influenced the take up of renewables and sustainability measures. Monitoring reveals the recent take up of innovative farm technologies such as anaerobic digestion plus roof and ground mounted solar panels. Nevertheless the Authority has observed that more can still be done to influence the sustainability of larger developments, particularly housing on enhancement (brownfield) sites.
- xi. There was no net loss of community facilities and 11 new approvals for improvements to existing shops use.
- xii. There were 11 permissions for additional business floorspace or change use to B uses. All but two permissions were inside named settlements.

Moreover an appeal against the refusal of planning permission for housing at the Deepdale employment site in Bakewell was dismissed, thus safeguarding future employment space at this important and well located site.
- xiii. In June 2016 the Secretary of State confirmed the Prohibition Order and upheld the restoration scheme proposed by the Authority in respect of the Backdale area and the restoration scheme agreed between the Authority and the landowner in respect of Wagers Flat, which now form part

of the Order.

- xiv. Transport policies have been applied in order to influence a range of highways related proposals ranging from the significant works on the A628, to other schemes along the A54 and village based parking enhancement schemes in Castleton and Baslow.
- xv. Work progressed well on a Transport Design Guide which is due for adoption in 2018, along with significant progress with Development Management Policies which will also be submitted for examination in early 2018.

D(1)1

- The Planning Committee received a report summarising the work carried out by the Minerals and Waste Team from January 2016 to June 2017. Over the review period the Authority received 27 planning applications. Of these 3 were invalid or withdrawn, 12 were applications to discharge or partly discharge conditions on existing permissions, 4 were prior notification required under the General Permitted Development Order, 1 application was for waste development and 9 applications were not yet determined, During the same period 25 applications were determined with 24 granted or a condition discharged or partially discharged and 1 was refused. 7 of the 24 applications were determined at Planning Committee.
- Through site monitoring the Authority has good working relationships with the owners and/or operators of most sites in the National Park and has good opportunities to influence proposals from their earliest stages, and this is why most proposals are granted planning permission. Less acceptable proposals are less likely to be subject to formal applications.
D(1)3
- The Planning Committee endorsed joint work by Historic England and Locus Consulting, supported by the Authority, to provide a suite of reports and guidance detailing the significance of historic farmsteads in the Peak District. The Committee agreed that the reports and guidance should be used to inform the development of the Peak District Farmstead Assessment Framework as a Supplementary Planning Document and contribute the redefinition of the National Park's special qualities.
D(1)4
- The Planning Committee received a report setting out progress of the Peak District National Park Transport Design Guide Supplementary Planning Document (SPD) and a draft document to form the basis of an eight week public consultation.
D(1)5
- Work Programmes published for meetings of the Authority and its Committees.
- Continued to facilitate a large number of speakers at Authority and Committee meetings through our Public Participation Scheme.

Sub Principle: D(2) Planning Interventions

We will:

- (1) Implement our strategic and financial planning cycle for development, review and monitoring of:
 - NPMP;
 - Local Plan;
 - Corporate Strategy;
 - Medium Term Financial Plan;
 - Performance and Business Plan;
 - Service Plans.
- (2) Engage with internal and external stakeholders in determining how services and other courses of action should be planned and delivered through:
 - NPMP partnership;
 - Planning policy consultation;
 - Landscape scale partnerships;
 - Operational partnerships;

- Regular communication with bodies representative of the different 'voices' inside and outside of the National Park.
- (3) Ensure our risk management policy, strategy and processes cover risk management for partnerships.
- (4) Make sure that our Procurement Strategy and Contract Procedure Rules are robust but provide additional flexibility when needed.
- (5) Implement a performance management system with:
- identified measures of success/indicators and targets which cascade into service plans and individual objectives;
 - quarterly monitoring and annual reporting of performance;
 - identified leads for data owners and data collectors with appropriate checks on quality of information.
- (6) Support achievement of our Medium Term Financial Plan for revenue and capital expenditure with annual financial planning processes culminating in an Annual Budget being recommended to the Authority in March.

What evidence/assurance is in place?

- Service Plans to include plans and timescales for reviewing key plans and policies;
- A work programme is maintained and published for meetings of the Authority and its Committees;
- Communications and Marketing Strategy;
- Media protocol;
- Evidence base for National Park Management Plan, Strategies, Local Plan;
- Residents and Service User Surveys;
- Constituent Council and Parish Council liaison meetings;
- National Park Management Plan focus and targets agreed with partners and stakeholders. Progress monitored by Advisory Group with an independent chair;
- Partnership Policy and Protocols;
- Risk Management Policy and Strategy with Corporate Risk Register and Service level Risk Registers
- Procurement Strategy and Contract Procedure Rules;
- Performance Management Framework including monitoring and reporting on performance quarterly and year end;
- NPMP, Local Plan, Corporate, National Park Family and service indicators;
- Annual Performance and Business Plan;
- Grant Memorandum and Vision Statement agreed with Defra (Department for Environment, Food and Rural Affairs);
- Medium Term (3-4 years) Strategic and Financial Planning Strategy;
- Corporate Strategy;
- Defra 8 Point Plan for National Parks.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Planning Committee considered a summary of the work carried out by the Monitoring & Enforcement Team over the year April 2016 – March 2017. Over this period the Monitoring & Enforcement Team had continued to implement an Action Plan in to help focus resources and increase the pace of progress on casework. The report also includes information on the breaches that have been resolved in the latest quarter. The majority of breaches of planning control were resolved voluntarily or through negotiation with the landowner (or other relevant persons) without resorting to formal enforcement action. The main measure of performance in the Planning Service Plan for 2016-17 was to resolve 120 breaches in the year, which was exceeded. The number of outstanding breaches has increased over the year from 444 to 492 which is due in part to the increase in new breaches (164 compared to 157 in 2015-16 and 141 in 2014-15). The number of enquiries outstanding has increased only slightly over the past year – from 101 to 116. 77% of enquiries have been investigated/resolved within 30 working days. This is only slightly below the target of 80% in the Service Plan for 2016-17.

D(2)1

- Planning Committee received an update of the Regulations and Order relating to the Brownfield Land Register and Permission in Principle and their contents. It was noted that under the regulations a site could be granted Permission In Principle it was entered by the Local Planning Authority onto Part 2 of the Brownfield Land Register. It was noted that due to Core Strategy Policy HC1 which stated that the housing land will not be allocated in the development plan there would not be any entries into Part 2 of the Authority register. However it was agreed that four sites at Low Bradfield, Netherside, Bradwell, Richard Lane, Tideswell and Stonewell Lane, Hartington would be entered on to part 1 of the Authority's Brownfield Land Register.

D(2)2

- The Strategic Leadership Team and Heads of Service have continued to meet quarterly to discuss performance and identify ways of working together to address issues whether performance targets may be off target.

Sub Principle: D(3) Optimising achievement of intended outcomes

We will:

- (7) Implement our Medium Term Financial Plan by:
 - Completing reviews of the Leadership Team, Conservation, Support Services, Rangers, Strategy and Plan Making;
 - Implementing a programme of reducing input costs to those areas given strategic certainty;
 - Managing the three year capital programme;
 - Being clear on the full cost of operations;
 - Increasing our income from giving;
 - Achieving our commercial programme income targets;
 - Developing/establishing sponsorship relations;
 - Securing external funding for major programme and partnership delivery;
 - Make sure the budgeting process is all inclusive, taking into account the full cost of operation over the medium and longer term.
- (8) Make sure that the Medium Term Financial Strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage.
- (9) Maximise the social value/return to the public on every pound spent through:
 - Delivering eco system services;
 - Procuring services and goods well;
 - Reducing the Authority's carbon footprint;
 - Planning gain.

What evidence/assurance is in place?

- Feedback surveys and exit/decommissioning strategies with Evidence of changes as a result;
- Budgeting guidance and protocols;
- Member Budget Workshops;
- Quarterly Budget Monitoring meetings with Members;
- Quarterly budget monitoring report considered by officer performance monitoring group;
- Medium Term (3-4 years) Strategic and Financial Planning Strategy;
- National Park Purposes;
- Corporate Strategy;
- Social Value in contracts above the EU threshold;
- Contract Procedure Rules;

- Section 106 Register of Legal Agreements.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Work has progressed on proposals to develop a charity vehicle to support the Authority's fundraising ambitions. A Member/Officer Working Group was setup to look at the issues, collect evidence of best practice and make a recommendation to the Authority. The Charity Working Group involving a number of Officers and Members has met four times during 2017/18 with a proposal report being considered at a meeting of the Authority in May 2018.
D(3)1
- Following a decision 2 years ago to support the establishment of National Parks Partnerships LLP the Authority considered a report on progress made by the LLP and proposals to change to funding model to a subscription model based on an amended business plan and establish a national charitable entity to support UK National Parks.
D(3)2
- As the contract for cleaning services at Aldern House was due to end on 31 March 2018, following a tendering process, the Authority has agreed proposals to award a contract to an external provider. The contract would last for a period of five years, with the ability to extend this for a further year if agreed by both the Authority and successful tenderer.
D(3)3
- Members continued to be involved in preparing the 2018/19 Budget through Strategic Financial Workshops held in October and November 2017.
- In the 2016/17 Statement there remained a risk/concern in relation to meeting the corporate objective of diversifying and growing income. Specifically there remains a risk to the scale and speed of diversification and growth. There is a need for the Strategic Commercial and Outreach Development Plan to set out the process, activities, skills and investment required to inspire donations to the Peak District National Park Authority plus the potential returns (scale and timeframe) from the implementation of the Plan.
- A plan setting out the culture, skills, activities and activities required to inspire support – and the potential returns – has been completed and shared with Members, SLT, OLT and wider colleagues. Within the plan certain elements are proving slower to implement than desired – decision to establish a charity vehicle, establishing income generating and engagement facilities at Miller's Dale (a key visitor destination), for example – while others such as revitalised and new content, improved products, and strong estate management are delivering benefits. Similarly, an investment in a refreshed ranger service focused on outreach has been agreed and is being implemented. This will have a positive impact on our ability to engage audiences and stakeholders, a vital first step to building support. The key challenge on income specifically is that the scale of new income from sweating existing assets is limited while potential significant growth could come from 'new' initiatives. The performance framework and budget planning process limited the Authority's ability to engage strategically in this developmental challenge. The risk therefore remains.
- In the 2016/17 statement it was recognised that the remained a risk relating to a failure to deliver against our Performance and Business Plan in a Time of Change.
- The PDNPA Performance and Business Plan for 2017/18 was approved by the Authority on 26th May 2017.
- Comprehensive reports highlighting performance against the 2017/18 Business Plan have been provided to the Authority's Audit, Resources and Performance (ARP) Committee at the end of each quarter throughout the financial year.
- At a Strategic Development Meeting (SDM) held on 22nd August 2017 a new framework and associated timetable for the Authority's Performance and Business Planning was approved. The revised framework aims to ensure the alignment of timescales relating to financial planning, staff planning and performance management, so that they are integrated.
- Improvements to the Authority's performance management processes were also implemented which aim to make them simpler, more user-friendly and automated in order to achieve better outcomes and reduce the administrative support required for it to operate.

Issues identified which affect effectiveness

5. There remains a risk/concern in relation to meeting the corporate objective of diversifying and growing

income. Specifically there remains a risk to the scale and speed of diversification and growth. There is a need for the Strategic Commercial and Outreach Development Plan to set out the process, activities, skills and investment required to inspire donations to the Peak District National Park Authority plus the potential returns (scale and timeframe) from the implementation of the Plan.

(E) Core Principle**Developing the Authority's capacity including the capability of its leadership and the individuals within it****Sub Principle: E(1) Developing the Authority's capacity****We will:**

- (1) Maximise the impact of our three roles of regulatory, influencing and doing by:
 - Providing value for money in achieving our outputs and outcomes through service and performance reviews. This will include benchmarking and looking for opportunities for business process improvement, smarter procurement and reduction in input costs;
 - implementation of our Information Management Strategy and Asset Management Plan;
 - working with others to seek opportunities to work more effectively together, understanding the relationship between what we do and what others do to avoid duplication of effort.
- (2) Use performance data and trend analysis to guide decision making.
- (3) Use research data and benchmarking information in Service Planning.
- (4) Ensure the effective operation of partnerships to deliver agreed outcome and the methodology used to assess outcomes and effectiveness.
- (5) Empower and develop staff to maximise their potential to achieve for the Place and the Authority through:
 - Agreeing organisational capabilities and design principles and putting in place an organisation structure within the three directorates;
 - Developing and implementing a workforce plan;
 - Developing and implementing an organisational development programme.

What evidence/assurance is in place?

- Regular reviews of activities, outputs and planned outcomes;
- Member Scrutiny Process and scrutiny reports;
- Programme of Value for money reviews;
- Internal Audit Programme;
- Member Representatives involved in reviewing activities;
- Evidence of performance data and trend analysis informing decision making;
- Evidence of research data and benchmarking information being used to inform service planning;
- Monitoring of effective operation of partnerships to deliver agreed outcome and the methodology used to assess outcomes and effectiveness;
- Reports from the National Park Management Plan Advisory Group;
- Authority Members appointed to Outside Bodies;
- Learning and Development Policy for Staff;
- Annual identification of corporate needs and reports to the Leadership Team;
- Staff annual learning and development and induction programmes;
- Individual Staff Learning and Development Plans;
- Retainment of Investors in People Accreditation.

Review of action and assurances indicating maintenance/improvement to effectiveness

- The Leadership Team have agreed a range of methods to be used to make sure that the Authority

meets its public sector apprenticeship target and contribute to Defra's ambitions in the 8-Point Plan for England's National Parks which aspires to double the number of apprenticeships in National Park Authorities by 2020.

E(1)1

- Approved the replacement of ageing Authority Pool Vehicles at Aldern House and the Moorland Centre. The new pool vehicles which have been delivered have smaller more efficient and cleaner petrol engines instead of diesel and there are plans to add Electric Vehicles to the pool car fleet in order to employ and embrace new technologies and further reduce our CO2 impact.

E(1)2

- The responses from the staff survey were analysed with an Officer Working Group set up to develop and agreed an action plan. Performance against the action plan is being monitored.

Sub Principle: E(2) Developing the capability of the Authority's leadership and other individuals

We will:

- (6) Develop the capability of the membership through:
 - Ensuring our committee structure and decision making processes are efficient and effective with the different roles of Member and Officers being clear and understood;
 - Having in place appropriate systems and guidance to support such structures and ensure effective communication between Members and staff in their respective roles;
 - Ensure role descriptions for Members, Chairs and Special Responsibility Roles are clearly understood;
 - Having structures in place which enable Members to utilise their skills and experience including through scrutiny to help achieve outcomes;
 - Conduct a survey of Members every two years and respond to feedback if required.
- (7) Agree the extent of delegation from Members to Officers and periodically review the effectiveness of this.
- (8) Appoint appropriately qualified and experienced people to the three statutory roles of:
 - Head of Paid Service
 - Chief Finance Officer
 - Monitoring Officerand put in place appropriate Protocols and Policies to support these roles including in the chair's job description a responsibility for appraisal of the Chief Executive.
- (7) Ensure we have an effective executive leadership group in place with appropriate skills and experience, working coherently to achieve high levels of confidence in the NPA internally and externally.
- (8) Identify learning and development needs of Members through the introduction of member personal development plans and meet these needs through an annual programme and through development tailored to the needs of individuals.
- (9) Identify learning and development needs for Officer at an individual, service and corporate levels providing ways of meeting these through a variety of means as described in our Learning and Development Policy including an annual corporate programme and leadership development.
- (10) Use our skills and experience matrix for different Member Roles and the Member Development Plan process to help Members self-assess and develop appropriate skills to carry out their work.
- (11) Implement the appraisal process for Secretary of State Members.
- (12) Use our Joint Performance and Achievement Review process to appraise the performance of individual staff and maximise the contribution of staff through individual objectives and development plans.

- (13) Ensure a suitable set of employment policies and practices are in place to support staff as our most valued asset.

What evidence/assurance is in place?

- Job descriptions for Chief Executive, Authority Chair, Members and Member Representative Roles;
- Regular meetings with Chief Executive, Chair and Deputy Chair;
- Regular meetings with Chief Executive, all Chairs and Deputy/Vice Chairs;
- Chief Executive's appraisal process led by Chair of Authority;
- Scheme of delegation reviewed at least annually in light of legal and organisational changes;
- Standing orders and financial regulations are reviewed on a regular basis;
- Clear statement of respective roles and responsibilities and how they will be put into practice;
- Leadership Development Programme;
- Member Training and Development Framework including annual Member Learning and Development

Review of action and assurances indicating maintenance/improvement to effectiveness

- At the AGM the Authority approved appointments to key roles, Committees and Advisory Group Memberships and Outside Bodies. Again the Member Appointment Process Panel were successfully involved in preparing for the meeting.
E(2)1 E(2)2
- Continued to provide a learning and development programme for Members. The Member participation rate for essential training/briefing events for 2017/18 is 72% and for participation in formal meetings is 81%. During 2017/18 27% of Members have personal development plans and 43% completed a self assessment.
- Progress to obtain the Member Development Charter has slowed due to changing priorities in light of the reduction in resources but we still retain it as an aspiration and as a framework for our Member Development actions. We have pulled together all previous decisions relating to Member Learning and Development to produce a Learning and Development Framework Document which includes the annual programme of events and details of indicators used to measure performance
E(2)3
- Continued to appoint Members to represent the Authority at meetings of various other organisations (outside bodies) and agreed following a review of the outside bodies appointed to. This year the Appointment Process Panel was involved in overseeing the process for making appointments.
E(2)4
- In anticipation of the 2017 Annual Meeting Members reviewed the scope and number of Member Representatives to be appointed. It was agreed that the following Member Representative roles would be appointed and linked to Defra's 8 Point Plan for National Parks:
 - Connecting Young People with nature
 - Thriving natural environments
 - Rural Economy
 - Farming and Food
 - Everyone's National Parks – Tourism and Participation
 - Landscape and Heritage
 - Health and Wellbeing
 - Communities
- It was also agreed that the following "scrutiny" roles would continue:
 - Asset Management
 - Member Learning and Development
 - Planning Enforcement
E(2)5
- As Defra and other appointing Authorities regularly request information on the attendance levels of their appointees the Authority has previously agreed to publish attendance figures annually based upon the financial year. (1 April to 31 March) the target is 75%. The 2016/17 figures were reported to the Annual Meeting in July 2017 when the overall attendance level was 80%. The 2017/18 attendance figures for individual members will be reported to the 2018 Annual Meeting but overall attendance level stands at 81%.

E(2)6

- Following the analysis of the 2016 Members' Survey which identified a trend in a number of the 2016 Survey responses which suggested that there is a perception that the Authority has a group of approximately a third of Members who felt really well informed and supported, alongside an increasing number of Members who felt that they could neither agree nor disagree with many of the statements in the survey. Looking at the feedback on response choices it appeared that there was some scope for engaging more Members earlier in the decision making process so that when an issue is brought for a formal Member decision they have a greater understanding of why a particular recommendation has been put forward. With this in mind at the 2017 Annual Meeting it was agreed that the Strategic Advisory Group would be replaced with an all Member Discussion Forum to take place following meetings of the Authority. The impact of this new arrangement will be tested in 2018/19 when the 2018 Members' Survey is carried out.

E(2)7

- Following a recommendation from the Local Government Association (LGA) workforce consultancy team who were engaged to undertake a review of the Authority's approach to pay and reward, the Authority has adopted a new Market Supplement Policy and Market Supplement Application and Review Procedure.

E(2)8

- Approved and implemented the redesign of the Visitor Experience Development & Outreach Development Services. The aim of the restructure was to see the Outreach and Visitor Experience service moving to structures that enables the Authority to provide quality visitor experiences with high standards for infrastructure and to deliver high quality outreach activity.

[E(2)9] [E(2)10] [E(2)11]

- There were three Secretary of State Member vacancies advertised during 2017/18. Defra, working with the Cabinet Office, have promoted the vacancies and managed the recruitment process for all the English National Parks, however the Authority has contributed to the campaign by circulating details of Member vacancies widely using a number of contacts including MOSAIC, using social media and issuing a press release and has responded to enquiries from individuals wishing to be considered for the Peak District vacancies. At the end of the process the Minister made one appointment with the two remaining vacancies carried over to the 2018 recruitment process.
- Continued to assist the Chair in carrying out appraisals for Secretary of State Members and submitting business cases to Defra for the reappointment of exiting Secretary of State Members at the end of their term of office.
- In the 2015/16 AGS uncertainties caused by the transitional phase during which the leadership structure cascades through the Authority and further restructures take place was identified as an issue which could affect effectiveness. Since 2015/16 the Corporate Strategy and change consultation in 2016/17 has given certainty on what we will focus on, how we will fund it, the principles by which we will design ourselves and what makes us distinctive as organisation, and what we will focus on. The Leadership Team structure has been in place for a year and has bedded in. The Heads of Service are developing into their role. We have clarity on the role of each Directorate and each Head of Service. The fourth tier managers are in place. There will be some transition as we develop the structure within these teams. A programme of Learning and Development opportunities has been agreed and will be delivered during 2017/18. As this has been identified as a corporate risk for 2017/18 and will be actively managed and monitored it is suggested it should remain as an issue for 2017/18.
- In 2016/17 Change Advantage were commissioned by the Authority to provide coaching and support to the Strategic Leadership Team during the transition. This work has continued during 2017/18.
- In the 2016/17 statement it was recognised that there were still uncertainties for staff as we continued through a transitional phase during which the leadership structure cascades through the Authority and further restructures take place in line with adopted design principles.
- Structural changes were largely complete by end of Q3, and implementation in Q4. The structural changes in the Commercial Development and Outreach Team following the adopted change management principles set by the Authority and feedback has resulted in some changes to the original plans.

Issues identified which affect effectiveness

6. The Authority is not able to attract or retain staff with key skills/experience.

(F) Core Principle**Managing risks and performance through robust internal control and strong public financial management.****Sub Principle: F(1) Managing Risk****We will:**

- (1) Implement our Risk Management Policy and Strategy throughout all levels of the Authority and regularly review its effectiveness including through regular reviews and scrutiny by internal Audit.
- (2) Implement robust and integrated risk management arrangements and make sure that they are working effectively.
- (3) Making sure that responsibilities for managing individual risks are clearly allocated.

What evidence/assurance is in place?

- Risk Management Policy and Strategy;
- Corporate Risk Register and monitoring;
- Service Plan – Risk Register and monitoring;
- Risk based Internal Audit Strategy and Annual Plan;
- Information Technology Disaster Recovery Plan;
- Business Continuity Plan including Crisis Management Procedures;
- Health and Safety Policy, support and annual report to Leadership Team and Local Joint Committee
- Insurance Policies;
- Building security systems.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Approved amendments to the Authority's Risk Management Policy and supporting documentation. The report from Internal Audit (Block 1, 2017/18) found that the arrangements for managing risk were very good. The auditor's overall opinion of the controls within the system at the time of the audit was that they provided High Assurance. High Assurance is the highest level of assurance and is described as: "Overall, very good management of risk. An effective control environment appears to be in operation." The only recommendation from the Audit was to ensure that all risks are assigned a responsible officer as two service level risks were missing a responsible officer. This change was implemented immediately.
F(1)1
- Members reviewed the year end position for the 2016/17 Corporate Risk Register and approved the proposed Corporate Risk Register for 2017/18. The report showed how 2016/17 risks have moved over the year with only six remaining in Amber and one remaining in Red, and all other risks managed down over the year. Those remaining in Amber and Red are:
 - Failure to create a common understanding of what we want to achieve in the White Peak
 - Adverse exchange rate movements for Moorlife 2020 European funding
 - Area of NP land safeguarded in agri-environment schemes reduces because of new Rural Development Programme for England (RDPE) implications
 - Failure to inspire people to give to a National Park Authority (Red)
 - Failure to effectively manage the impact of changes resulting from the EU exit vote in terms of:
 - Euro funding for Moorlife 202
 - UK government funding

- Policy and legislation changes
 - Partnership funding position
- Failure to deliver against our Performance and Business Plan in a time of structural change

These remaining risks were reassessed, refocussed and redefined in the 2017/18 Corporate Risk Register.

F(1)2

- In accordance with the Health and Safety Policy Part III Governance Arrangements, the Leadership Team received an Annual Report which provided evidence that health and safety performance was satisfactory and continuously improving.
- The report included:
 - An overall appraisal of health and safety performance for the previous year
 - Reference to improving competencies, particularly through training including: 'How We Work Around Here' – Line Manager Briefings and a series of workshops for Field Services
 - Accident and incident data and analysis for the year ending December 2016 for staff and visitors
 - A report on services provided to other National Parks and other third parties
 - Recommendations for further action through 2017.

F(1)3

- Approved additional one off funding to carry out the actions to meet the requirements of the Control of Asbestos Regulations 2012 and the Authority's Asbestos Management Policy and Procedures. The following actions were required:
 - To identify the presence of asbestos in all PDNPA premises. This required the provision of Asbestos Management Surveys of the Authority's buildings.
 - To develop an Asbestos Register.
 - To maintain and update the Register, keeping it in a central database with a written copy at each premise.
 - Carry out an annual asbestos surveys.
 - Carry out surveys on Refurbishment and Demolition projects.

F(1)4

- Approval of borrowing to fund a capital project to improve the visitor experience at Bakewell Visitor Centre. The work involved replacing the front windows to improve external appearance, allow better visibility for product and information display and improve the overall welcome of the building. Improvements to exterior signage and interior interpretation displays are to be implemented at the same time but funded from the Visitor Centre reserve and the Marketing budget.

F(1)5

- As a result of investigations into the taxation requirements relating to the use of the Authority's fleet vehicles and advice from an independent tax consultant the Authority agreed changes to the use of vehicles by revising the Travel and Subsistence Scheme. The proposed changes were deemed necessary in order to comply with HMRC regulations. It is also proposed to match the PDNPA mileage rates with those of HM Revenue and Customs from 1st April 2018 and thereafter.

F(1)6

- In the 2015/16 Annual Governance Statement the need to finalise and agree the draft Business Continuity Plan was identified as an issue which may affect effectiveness. All contact information had been updated but organisational changes meant that this action had not been completed and was carried forward. This action was completed in 2017/18 and the Plan is regularly reviewed to make sure it is up to date.
- The draft Business Continuity Plan was updated and presented to a Resources Management Meeting (RMM) on 17th October 2017.
- RMM agreed to approve and adopt the completed Business Continuity Plan which is now used to coordinate the Authority's planning and response in a potential emergency situation. During 2017/18 the Plan was relied upon during power outage affecting Bakewell and episodes of adverse weather.
- Copies of the Business Continuity Plan have been provided to members of the Senior Leadership Team and the Operational Leadership Team and other key personnel. A copy of the Plan is also available on the Modern.gov system and a hard copy is held in the fire safe located at Aldern House.
- The Business Continuity Plan will be circulated automatically through the Modern.gov system every six months for review and will be updated as required.

F(1)7

- In the 2015/16 Annual Governance Statement the need to finalise and agree the draft Business Continuity Plan was identified as an issue which may affect effectiveness. All contact information had been updated but organisational changes meant that this action had not been completed and was carried forward. This action was completed in 2017/18 and the Plan is regularly reviewed to make sure it is up to date.
- The draft Business Continuity Plan was updated and presented to a Resources Management Meeting

(RMM) on 17th October 2017.

- RMM agreed to approve and adopt the completed Business Continuity Plan which is now used to coordinate the Authority's planning and response in a potential emergency situation.
- Copies of the Business Continuity Plan have been provided to members of the Senior Leadership Team and the Operational Leadership Team and other key personnel. A copy of the Plan is also available on the Modern.gov system and a hard copy is held in the fire safe located at Aldern House.
- The Business Continuity Plan will be circulated automatically through the Modern.gov system every six months for review and will be updated as required.
- In both the 2015/16 and 2016/17 Annual Governance Statement the European Union exit vote was identified as an issue which may affect effectiveness. While there is still uncertainty of the impact the Authority has received assurances from the Department for Environment Food and Rural Affairs that the Government's approach to European funding streams includes LIFE projects. Therefore the EU Life funds awarded to MoorLife 2020 are covered by the Government commitment to underwrite the payment of such awards where they have been agreed before the UK's departure from the European Union, and even when specific projects continue beyond departure. The impact of the EU exit vote is still identified as a significant risk in the Corporate Risk Register and remains as an issue that may affect effectiveness.
- In the 2016/17 AGS it was noted that, as the Corporate Risk Register highlighted the need to ensure staff are supported through a time of change, this should be identified as an issue which could affect effectiveness. As this was part of an ongoing process it has been identified in this AGS as an issue for 2017/18.
- Structural changes largely complete by end of Q3, and implementation in Q4. The structural changes in the Commercial Development and Outreach Team following the adopted change management principles set by the Authority and feedback has resulted in some changes to the original plans. In addition resilience training and support has been provided for staff throughout the year and feedback has shown this has been welcomed by staff.
- The outcome of the June 2017 Parliamentary Election was identified as an issue affecting effectiveness as it was likely to have an impact on Brexit negotiations and government spending/priorities.
- Extra resources provided by the 10 English National Parks to support NPE in monitoring of the implications and maximise opportunities to influence. The best example being the collective work of the English National Parks on the future of farming paper and follow up advocacy with policy makers and influencers. Written and oral evidence provided by NPE to select committees on the impact of Brexit. Continued good engagement with Defra by the National Parks collective voice on NPE has resulted in the Government recognising our value as evidenced by the aspirations set out in the Government's Plan on the Environment.

Sub Principle: F(2) Managing Performance

We will:

- (4) Implement a robust Performance Management Framework with quarterly and annual monitoring and reporting to Managers and Members.
- (5) Ensure our decision making processes are sound through:
 - evidenced based reports following a prescribed format to ensure relevant information and risks are included;
 - expert advice being available to report authors and to Managers and members at decision making meetings;
 - committee and meeting processes.
- (6) Implement our scrutiny process and monitor its success as an effective challenge and performance improvement tool.
- (7) Monitor and review activities and report on progress made.
- (8) Ensure our Financial Regulations, Standing Orders and Budget Monitoring support reporting of financial

performance.

What evidence/assurance is in place?

- Annual Performance and Business Plan includes performance against targets;
- Using research data and benchmarking information in Service Planning;
- Quarterly Performance Reports to Audit Resources and Performance Committee;
- Quarterly Performance Review meetings involving Managers;
- Employee performance against targets is formally reviewed twice a year as part of the JPAR process;
- Annual Planning Policy Review – provides analysis on how planning policies are working;
- Ongoing discussion between Members and Officers on the information needs of members to support decision making and questions in biennial Member Survey;
- Publication of agendas and minutes of meetings;
- Report templates include heading to make sure that risks and other implications are considered;
- Agreement on the information that will be needed and timescales;
- Although not required to have Scrutiny Committees we have a tried and tested framework for Member involvement in scrutiny;
- Evidence of improvements arising from Member Scrutiny;
- Value for money reviews to Audit Resources and Performance Committee;
- Member motions to full Authority allow Members to raise and discuss areas of concern;
- Every year the annual Member Learning and Development programme include workshops relating to Strategic Business and Financial Planning;
- Record of decision making and supporting materials;
- Our Standing Orders include Contract Procedure Rules and Financial Regulations;
- The Budget Monitoring Group involving Members meets quarterly to discuss financial arrangements and assess the effectiveness of the control measures in place.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Amended Standing Order 1.34 (2) so that Deputy Monitoring Officer is included in list of officers authorised to attest to the sealing rather than a Deputy if other named officers were unable to act.
- Changed section G of part 4 of Standing Orders – Audit Resources and Performance Committee to clarify its audit functions and reflect guidance from the Chartered Institute of Public Finance and Accountants (CIPFA) on Audit Committees.
F(2)1
- Members of the Audit Resources and Performance Committee continued to receive and discuss quarterly performance reports including a review of performance against the Corporate Plan (comprising 4 directional shifts and 4 cornerstones); monitoring of the corporate risk register; monitoring of Freedom of Information Requests and monitoring of complaints.
[F(2)2] [F(2)3] [F(2)4]
- The quarterly budget monitoring meeting involving Authority Members has continued to meet.
- In the 2016 Members' Survey 87% (20) respondents agreed or strongly agreed that they had have appropriate performance data so that I know how well the Authority is delivering against its approved policies and plans. 13% (3) neither agreed nor disagreed and none disagreed.

Sub Principle: F(3) Robust Internal Controls

We will:

- (9) Ensure there is a system of internal control in place which is reviewed in light of experience and feedback on its effectiveness from auditors and others.
- (10) Evaluate and monitor risk management and internal control on a regular basis.
- (11) Ensure our Confidential Reporting Policy ('whistle blowing' policy) and Anti- Fraud and Corruption Policy are clearly accessible on our website, intranet and to all officers as part of the material given to staff during their induction.
- (12) Ensure that effective Internal and External Auditors are appointed and that they have direct contact with the Audit Resources and Performance Committee.
- (13) Ensure that the Audit Resources and Performance Committee is supported in its audit, scrutiny and standards roles.

What evidence/assurance is in place?

- Risk Management Policy and Strategy formally approved and adopted and is reviewed and updated on a regular basis;
- Risk Management Policy and Strategy;
- Risk based internal Audit Strategy and Annual Plan;
- Audit reports and management actions reported to Audit Resources and Performance Committee;
- Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption;
- Confidential Reporting Policy in place and promoted;
- Audit reports and management actions reported to Audit Resources and Performance Committee;
- Annual assurance and summary of activities reported to Audit Resources and Performance Committee and included in Annual Governance Statement;
- The terms of reference for Audit Resources and Performance Committee includes Internal and External Audit matters and matters relating to the Authority's Corporate Governance Framework including the Annual Governance Statement and the Annual Governance Report;
- The Budget Monitoring Group involving Members meets quarterly to discuss financial arrangements and assess the effectiveness of the control measures in place.

Review of action and assurances indicating maintenance/improvement to effectiveness

- The Audit Resources and Performance Committee received the 2016/17 Internal Audit Report and approved the 2016/17 Internal Audit Annual Plan. The overall opinion of the Head of Internal Audit on the framework of governance, risk management and control operating in the Authority is that it provides Substantial Assurance. There are no qualifications to this opinion and no reliance was placed on the work of other assurance bodies in reaching that opinion. There are also no significant control weaknesses which, in the opinion of the Head of Internal Audit need to be considered for inclusion in the Annual Governance Statement.
F(3)1
- approved the proposed Internal Audit Plan for 2017/18
F(3)2
- The Committee has also received the Internal Audit Reports and recommendations and proposed management action to address issues raised.
[F(3)3] [F(3)4]
- The Risk Management Policy and Strategy has been approved and adopted and is reviewed and updated on a regular basis. Risk is monitored quarterly by the Audit Resources and Performance Committee.
- The Authority has a risk based Internal Audit Strategy and Annual Plan agreed by the Audit Resources and Performance Committee. Audit report findings and details of action taken in response are also considered by the Committee with the Internal Auditor present to address any questions and/or concerns.
- Both the Internal and External Auditors have direct access to Members.

Sub Principle: F(4) Managing Data

We will:

- (14) Implement our Information Management Strategy led by our designated Senior Information Risk Owner (SIRO) and supported by a network of Information Asset Owners.
- (15) Develop and roll out our Data Protection charter which will include guidance on arrangements for sharing data.
- (16) Ensure our data is accurate and clean through:
 - The measures outlined in the information management strategy;
 - The performance management processes

What evidence/assurance is in place?

- Freedom of Information Act Publication Scheme and disclosure log;
- Appointment of Senior Information Risk Owner, Lead Information Asset Owner and departmental Information Asset Owners;
- Guidance available to Staff and Members on data protection issues;
- Creation of data protection policies, data protection staff training plan and rollout with appropriate tools and monitoring, robust processes where personal/sensitive data is created or used as part of wider operations;
- Use of robust data processor agreements where 3rd parties hold or process personal/sensitive data on the Authority's behalf;
- Data Protection Statement;
- Quality and accuracy of data considered in preparing quarterly performance reports;
- Growth of datasets/types published online.

Review of action and assurances indicating maintenance/improvement to effectiveness

- In accordance with the recommendation in the Freedom of Information Act the Authority maintains and publishes a disclosure log which contains information relating to requests that we have received and responded to within the quarter. The log is in summary format which provides details of the request, whether we have disclosed the information and whether we have responded within the time period defined by the Information Commissioners Office.
- On-going measures to improve data capture and data quality will continue in order to properly assess the direction of travel for the performance of planning policy and planning decisions over the coming years
- In accordance with the Information Management Strategy (IMS2) we continued with our action to 'clean' data as it is the key to being able to improve the quality of our data and make it more accessible from one single source to officers and the public.
- Collected survey data to inform performance assessments and design of services in a number of areas including: planning, cycle hire, visitor centres, guided walks, volunteers and residents
- The Authority has a Data Protection Statement in place and published on the Authority website.
- Continued implementation of the 'Infrastructure as a Service' (IaaS) model as part of a refresh of the core IT Infrastructure funded through the ICT capital programme. This approach allows the Authority to renew its infrastructure while increasing its capability, reducing risks of failure and increasing security, backup and disaster recovery provisions
- In the 2016/17 statement it was recognised that a failure to adopt the General Data Protection Regulations and implement appropriate corporate controls and processes could result in data breaches,

loss of reputation and Financial fines from the Information Commissioner's Office. To mitigate against this the Authority has carried out an information asset audit across the organisation.

- A detailed report setting out the Authority's response to the introduction of the General Data Protection Regulations (GDPR), which comes into effect on 25th May 2018, was considered by the Resources Management Meeting (RMM) on 5th December 2017.
- RMM approved the recommendations in the report which included assigning the role of Data Protection Officer to the Records and Information Manager post and implementing a series of actions to ensure compliance with the GDPR. These actions include the provision of staff training via a new E-Learning system known as ELMS. Reminders to staff to complete the training by 31st March 2018 will be issued.
- It was agreed that a further report, providing an update on GDPR progress, would be provided to RMM in April 2018.

Sub Principle: F(5) Strong public financial management

We will:

- (17) Put in place a Medium Term Financial Plan supported by an annual review and budget setting process aligned to the corporate strategy.
- (18) Ensure our financial management includes forward planning of expenditure and resources, budget consultation, budget setting and monitoring and final accounts. The aim is to ensure that these are accurate, include information relevant to the user and are completed to agreed timescales. Financial Regulations further support the above by setting our policies and procedures that are to be adhered to.
- (19) Ensure the Chief Finance Officer has independent reporting as necessary to the Chief Executive, Resource Management team and Members even though the post holder sits in the Corporate Strategy and Development Directorate.

What evidence/assurance is in place?

- Financial Management Arrangements and reporting;
- Budget Monitoring reports;
- Budget Monitoring meetings involving Members.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Received an unqualified External Audit Opinion for 2016/17 for the final accounts and a satisfactory conclusion on value for money .
F(5)1
- The Treasury Management Policy Statement and Annual Treasury Management and Investment strategy was agreed by the Authority in March 2018.
F(5)2
- ARP considered the outturn for 2016/2017, approved the necessary appropriations to or from reserves, and agreed unspent funds and overspends to be carried forward into the 2017/18 financial year.
F(5)3
- Developed Budget Proposals to reflect the delivery of the Authority's Corporate Strategy presented to Members in May 2017, and the Member Workshops in October and November 2017. This budget was developed around the National Park Grant funded by Department of Environment, Food and Rural Affairs in the second year of the Governments 4 year Spending Review Period up to March 2020.
- Based on these proposals we agreed and implemented a balanced budget for 2018/19.
F(5)4
- Entered into a 3 year licence agreement in relation to the new café at Castleton Visitor Centre. Income from

the licence agreement forms a crucial part of the business plan for Castleton Visitor Centre. The chosen provider has some implications for the local economy with regard to use of local producers/suppliers and new employment opportunities.

F(5)5

- After approving the overarching programme for the disposal of minor properties, 15 minor properties were identified for potential disposal.

F(5)6

- Approval to accept the legacy of Lower Greenhouse Farm (farmhouse, outbuildings and land) in the village of Calton, Staffordshire to the Authority

F(5)7

- Initiated an independent review of the Authority's current Members' Allowances Scheme with recommendations being presented to the Authority in May 2018.

- In December 2017 the Members' Forum held a discussion on operational financial performance of the Authority's property In January 2018 ARP Committee received an update report and approved a revised approach to strategic asset management and the production of a refreshed Asset Management Plan over the next 3 years.

F(5)9

- Approved a capital project to improve the visitor experience at Millers Dale Station and considered the longer term plans and approach to developing the site to link to support the maintenance of the trails network.

F(5)10

Issues identified which affect effectiveness

7. The impact of Brexit negotiations is not known.

(G) Core Principle**Managing risks and performance through robust internal control and strong public financial management.****Sub Principle: G(1) Implementing good practice in transparency****We will:**

- (1) Increase accessibility to information and to engaging with the Authority through a variety of ways and access channels including through improvements to digital communications.
- (2) Hold all meetings in public unless there are good reasons for confidentiality and implement a public participation scheme for all committee.

What evidence/assurance is in place?

- Key governance documents, including Standing Orders, are published on website using modern.gov;
- Publishing operational data through our website;
- Documents relating to meetings of the Authority and its Committees are published on the Authority website;
- Provisions in place allowing reporting on meetings and providing an audio webcast of meetings of the Authority and its Committees;
- Publish work programmes for the Authority and its Committees;
- Committee reports containing exempt information are kept to a minimum and where possible an open report is provided to summarise the decision to be made and allow public participation.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Approved a programme of maintenance works to address the backlog of works across the Authority's property portfolio. The works will address all of the urgent items arising from condition surveys completed on high priority sites. It is anticipated that the programme of works will run over the financial years 17/18 and 18/19.
- A total expenditure of £599,639 is required to address all of the identified items, and will come from a number of funding sources. It is proposed that this is funded from a combination of capital funds, capital borrowing, the investment programme, reserves and maintenance budgets.
G(1)1
- Reviewed the arrangements for the management of the woodlands under the ownership of Bakewell Town Council and agreed further action to clarify the future involvement of the Authority in the BTC owned woodland.
G(1)2
- Further to a decision to substantially reduce the number of woodlands in Authority ownership a disposal programme has been implemented through various sales of freeholds. Progress has been as follows:

In Phase 1 - 6 Freeholds sold
In Phase 2 - 7 Freeholds sold
In Phase 3 - 3 Freeholds sold
In Phase 4 - 4 Freeholds sold
In Phase 5 - 5 Freeholds will be put on the market in the Spring 2018
A further 3 woods from Phases 3 and 4 have also been sold subject to contract
- The Authority will proceed to a 6th Phase of possible disposals which will concentrate on the relinquishment of 10 Leasehold woodlands subject to negotiation with the owner.

G(1)3

- RMM received an annual review and update of the major Minerals and Legal Finance Reserve and Plan and the associated carry forward of any underspend in the Legal non-staff budget into future financial years on a rolling basis. This report followed the previous review in December 2016 and reflected the revocation orders confirmed for Stanton Moor Quarry and part of New Pilhough Quarry, the planning permission granted for Topley Pike Quarry and the review of the Old Moor permission

G(1)4

- Following a decision in October 2016 to introduce parking enforcement (by joining the Derbyshire Parking Partnership) and increase car parking charges concurrently. Derbyshire County Council has increased the timescale for making an Order under the RTRA 1984 meaning that it will no longer take place concurrently with the amendment to the Authority's byelaws. The delay the predicted increase in income from the introduction of car park enforcement, however the effect of changing the tariff structure alone will still be achieved as the amendment to byelaws can cover all of the car parks managed by the PDNPA.

G(1)5

- Key governance documents, such as Standing Orders are published on the Authority website and available through the modern.gov app.
- Continue to publish documents relating to meetings of the Authority and its Committees on the website. In addition members of the public can use self service functionality to register to receive automated email alerts for specific topics or meetings. Documents are also published through the modern.gov app available for IOS, Android, Blackberry, Kindle Fire and Windows 10 users.
- Audio webcasting of meetings of the Authority and its Committees continues with recordings will be held and published for 3 years after the meeting.
- Although we are not required by law to publish a forward plan of decisions, in the spirit of openness and transparency we continue to compile and publish work programmes for the Authority and its Committees to allow members of the public to be aware of forthcoming decisions.

Sub Principle: G(2) Implementing good practice in reporting

We will:

- (3) Prepare, approve and publish annual performance monitoring reports for our:
 - National Park Management Plan
 - Performance and Business Plan
 - Local Plan
- (4) Prepare and publish an Annual Governance Statement which assesses performance against our Code of Corporate Governance and identifies actions for continuous improvement.
- (5) Ensure our Monitoring Officer has independent reporting as necessary to the Chief Executive, Senior Leadership Team and Members even though the post holder sits in the Corporate Strategy and Development directorate.
- (6) Prepare and publish our annual financial statements in accordance with guidance and good practice.

What evidence/assurance is in place?

- Committee approval of year end performance reports and annual accounts;
- Prepare and publish Annual Governance Statement and financial statements in accordance with guidance and best practice;
- Monitoring Officer Protocol.

Review of action and assurances indicating maintenance/improvement to effectiveness

- Members reviewed and approve the audited Annual Governance Statement for 2016/17.
G(2)1

Sub Principle: G(3) Assurance and effective accountability

We will:

- (7) Proactively work with Internal and External Auditors to ensure the good governance of the Authority through:
 - Regular liaison meetings;
 - Forward audit plans based on risk;
 - Responding to all recommendations in a timely way.
- (8) Ensure the Internal and External Auditors have direct and unrestricted access to Senior Officers and Members.
- (9) Consider and respond to assurances sought and received on our performance including:
 - External audit letter;
 - Internal audit reports;
 - Feedback from those charged with governance including Chief Finance Officer, Monitoring Officer, Chief Executive and Chair of Audit Resources and Performance Committee;
 - Local Government Ombudsman;
 - Planning appeals and inspector reports;
 - Complaints and Freedom of Information/ Environmental Information Regulations enquires;
 - Investors in People assessors;
 - Legal proceedings;
 - National Park peer reviews;
 - Self-assessment processes e.g. against CIPFA's code of practice on managing the Risk of Fraud and Corruption.
- (10) Ensure our risk management policy processes are applied to partnerships and delivery service level agreements.

What evidence/assurance is in place?

- Evidence of positive improvement;
- Compliance with CIPFA's Statement on the Role of the Head of Internal Audit;
- Compliance with Public Sector Internal Audit Standards;
- Evidence in Annual Governance Statement;
- Community Strategy;
- People and Park connected strategy and action plan;
- Audit Plans agreed by Members at ARP;
- Assurances included in the Annual Governance Statement.
- Self Assessment against the CIPFA Code of Practice on Managing the Risk of Fraud and Corruption

Review of action and assurances indicating maintenance/improvement to effectiveness

- Committee received and noted the Local Government Ombudsman (LGO) Annual Review letter for 2016/17.
G(3)1
- Members considered the 2016/17 Annual Audit Letter which confirmed:
 - an unqualified conclusion on the Authority's arrangements to secure value for money.
 - an unqualified opinion on the financial statements. This means that they believe the financial statements give a true and fair view of the financial position of the Authority and its expenditure and income for the year.
 - the Statement of Accounts was prepared in a timely manner with high quality supporting work papers. There were no uncorrected audit adjustments at the end of the audit process.
 - The External Auditor had reviewed the Annual Governance Statement and concluded that there are no matters to report and that it was consistent with their understanding.
 G(3)2
- ARP received and noted a letter from the Authority's external auditor, KPMG, setting out details of the audit work and fee proposed for the 2017/18 financial year.
G(3)3
- Members received and noted the 2017/18 External Audit Plan from our External Auditors, KPMG and agreed fee proposed for the 2017/18 financial year.
G(3)4
- Received a positive unqualified opinion on the statement of accounts and a satisfactory conclusion on value for money (following a review of the annual governance statement) from our External Auditors, KPMG.
G(3)5
- Received a report summarising the work carried out on planning appeals from 1 April 2017 to 31 March 2018
G(3)6