REVIEW OF PERFORMANCE AGAINST CODE OF CORPORATE GOVERNANCE
1 APRIL 2018 TO 31 MARCH 2019

(A) Core Principle
Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of Law

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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 2018/19 there was one Member Code of Conduct Complaint. It was alleged that a Member had not acted impartially without discrimination and bias, not acted in the public interest and demonstrated bullying and intimidating coercive behaviour. Following an initial assessment involving one of the Authority's Independent Persons it was agreed that there was no evidence of a breach of the Code of Conduct or the supporting Protocols. It was however agreed that all Members would receive a briefing on the Planning Protocol and the Officer/Member Protocol at the Annual Planning Training Sessions.
- 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.
- During 2017/18 Derbyshire Police had been investigating allegations from a member of the public regarding fraud. The Authority engaged with the investigating officers and responded to requests for information from the police in accordance with the Anti-Fraud and Corruption Policy and data protection legislation. In 2018/19 Derbyshire Police advised the Authority that after investigation no further action would be taken.
- 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 2018 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 2017/18 AGS it was recognised that introducing and embedding the Authority's revised vision, mission and seven principles "We always…." would require active management, clear and consistent communications and demonstrate evidence of conformity. To address this during 2018/19 there have been regular communications at staff briefing throughout the year as we finalised the 2019-24 Corporate Strategy – with time spent to describe what the principles mean to individuals and teams. Videos prepared to share and describe the 7 principles for staff who have not been able to attend the staff briefings.
- The principles are being embedded into a new competency framework – consultations during the year with staff and managers on describing what they mean to them in clear simple sentences. Being included in the IiP assessment so they form part of our values.

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. The2017/18 annual report of the DDP has been considered by ARP. During 2018/19 the DDP met 4 times and agreed work with Yorkshire Water and National Grid as well considering a legacy.
- All decisions made below a £5000 threshold are recorded through the finance system where a financial transaction is made and recorded in a register where the transaction is an in-kind transaction. The register is reported to the DDP for review every six months The Panel reviewed the financial and in-kind registers of sponsorships and donations in April and October 2018.
  A(2)1
- Every two years the Authority carries out a survey of Members to get feedback on the following areas:
  o Strategic and External Leadership
  o Governance and Scrutiny
  o Contribution and Development
  o Communication
  o Community Engagement
- The Members' survey was due to take place during 2018 but in light of the Member decision to carry out a review of governance arrangements the survey has been postponed to 2019.

- The compulsory annual Member planning training events were held on 28 September 2018 and 26 October 2018, with those Members unable to attend either of these being provided with training in November 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

- In the lead up to the implementation date for the General Data Protection Regulations (GDPR) the Authority introduced and published a range of policies to support GDPR compliance, including clear desk policy, procedure for dealing with data breaches and template for conducting data protection impact assessments for new processes or technology that involve personal data. All existing staff have completed a data protection awareness course and this is now included in the induction programme for new staff. The Information Management Framework Policy has been revised and staff have signed up to the new policy via an online survey. Third party contracts have been updated to include a data protection clause and the following privacy statements have been published on our website: corporate, planning, employee and job applicant. The Authority has compiled an information asset register which will be supported by a team of Information Asset Owners and during the first quarter of 2019 the asset register will be managed through an application. This will enable the Authority to monitor the information held and apply a workable retention schedule. A recent audit has found that the Authority's arrangements for managing risks associated with personal data are good with few weaknesses identified. The controls within the system at the time of the audit were judged to provide Substantial reassurance.
- Throughout 2018/19 the Leadership Team has continued to receive updates on the Authority's preparations for GDPR. These updates included a summary of the work carried out and actions that needed to be completed in advance of the implementation date. Members also received an update at a meeting of the Members Forum held on 25 May 2018.
  A(3)1
- The Authority has a duty to keep its constitutional documents up to date. The Authority's Standing Orders and supporting documents are regularly reviewed and where appropriate updated to reflect organisational needs, best practice and changes to legislation.
- 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 Cyber Security, Visitor Centres, Information Governance Systems and ICT Controls all of which were given a Substantial level of assurance. The Authority also responded to three audit reports on Creditors, Debtors & Income and Payroll which were given a high level of assurance and an Information Security Compliance Check with a reasonable level of assurance Managers have responded to 9 Priority 3 actions and 6 Priority 2 actions.
- The 2018/19 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.
- It has previously been decided that, in reviewing our performance against our Code of Corporate Governance, 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. During 2018/19 none of the internal audit reports fell into this category.
- Responded to complaints investigated by the Local Government Ombudsman (LGO) reporting quarterly to members. For 2018/19: 1 decision has been received with evidence of maladministration but no injustice and there is 1 complaint outstanding. An amended decision was issued for a complaint determined in the 2017/18 AGS.
- The Authority's arrangements for handling Member Code of Conduct complaints are in place and published, one complaint was received during 2018/19.
- Towards the end of 2017/18 the Government had recently launched a 25 year Plan to improve the environment. The 2018/19 AGS therefore recognised that the Plan proposed a review of National Parks which would look at how designated areas delivered their responsibilities, how they were financed and whether there was scope for expansion. At the time of preparing the 2017/18 AGS the detailed scope

and timetable for the review had not yet been published.
- During 2018/19 the Authority hosted a visit to the Peak District by the review team in October 2018 and submitted evidence to the review team in December 2018, as part of their call for evidence.
- The Chair and CEO also formed part of the NPE team during the year in discussions with Julian Glover who is leading the review and both have supported the development of a joint NPE evidence the review teams call for evidence.

Issues identified which affect effectiveness

1. As the Authority works towards achieving Investors in People (IIP) accreditation there could be issues around developing and embedding the new competency framework and delivering the IIP Action Plan.

2. As things stand the recommendations arising from the Glover Review are unlikely to be published until the second half of 2019/20 however depending upon the recommendations there may be unexpected or unanticipated demands as Defra implement recommendations or consult on legislative changes needed to implement the findings. If the final reports makes reference to funding this may impact on priorities and preparations for developing the 2020/21 Budget.

(B) Core Principle
Making sure of openness and comprehensive stakeholder engagement

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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 2019-24 Corporate Strategy.
  B(1)1
- 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 the 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

- In January 2018 the government published a 25-Year Plan for the Environment. It set out an approach to protect landscapes and habitats in England and committed to undertaking a review National Parks and Areas of Outstanding Natural Beauty (AONBs). The review, led by Julian Glover, was initiated in May 2018.
- The aim of the review was to ask stakeholders about National Park Authorities, what might be done better, what changes could assist them, and whether definitions and systems - which in many cases date back to their original creation are still sufficient.
- In the context of meeting both local and national priorities and wider environmental governance, the review intends to make recommendations on
  - •the existing statutory purposes for National Parks and AONBs and how effectively they are being met
  - the alignment of these purposes with the goals set out in the 25-Year Plan for the Environment
  - the case for extension or creation of new designated areas
  - how to improve individual and collective governance of National Parks and AONBs, and how that governance interacts with other national assets
  - The financing of National Parks and AONBs
  - how to enhance the environment and biodiversity in existing designations
  - how to build on the existing eight-point plan for National Parks and to connect more people with the natural environment from all sections of society and improve health and wellbeing
  - how well National Parks and AONBs support communities
- The Authority facilitated a visit by the review team on 18-19 October 2018 9.and, following an invitation for individuals and organisations to contribute their views in response to a series of questions, agreed a formal response at the meeting of the Authority held on 7 December 2018
- The Authority also worked with the 9 other National Park Authorities in England to draft a submission to the call for evidence from National Parks England (NPE).
  B(2)1
- The Audit, Resources and Performance Committee agreed proposals to develop a full proposal for the Elements of LIFE project. The aim of the project was to safeguard new and previous restoration efforts carried out by the Moors for the Future partners over the last 15 years by preventing both desiccation of the peat body and reduce the risk of fire
- The project would build on existing partnership working with several major partners such as Severn Trent, United Utilities, Yorkshire Water, RSPB, National Trust, Environment Agency and Natural England, all of which have significant influence over the management of the moorland landscape.
  B(2)2, B(2)3
- Approved the seventh Operational Plan from the Moors for the Future Partnership. The plan covered the commitments in the financial year 2019/20 and included a look forward, both at commitments for the following year (2020/21) and the expectations of business development during and beyond this time frame.
  B(2)4
- Following extensive public and stakeholder consultation, the Authority approved and adopted the Peak District National Park Management Plan 2018-23. Section 66 of 1995 Environment Act requires National Park Authorities to produce and update a National Park Management Plan every 5 years.

- The Park Management Plan is the over-arching strategic document for the Park and sets the vision and objectives which will guide the future of the Park over the next 10 to 20 years. The Park Management Plans are for the National Park itself and not just the National Park Authority. The Plan is supported by clear strategies and includes significant 'buy-in' from key partners and stakeholders, including communities, land owners and land managers.   The Government expects public agencies and authorities active within or bordering a Park to cooperate in the development of the Park Management Plan and the achievement of the Management Plan objectives.'
  B(2)5

- Along with other local authorities based in Derbyshire the Authority has agreed to sign up to and support the Derbyshire Armed Forces Covenant. The purpose of the Covenant is to make sure that those in the Armed Forces Community are not disadvantaged compared to other citizens and recognise that special treatment may be appropriate in some circumstances. The Authority is to develop an action plan to identify how the Authority will honour the Covenant.
  B(2)6

- The Authority has applied for funding of up to £528,000 for capital works and associated project management from a number of sources to deliver pathway improvements to the Cut Gate Bridleway, North America Farm Bridleway and the Great Ridge Footpath. The project would be delivering identified and scoped pathway improvements to the three pathways.
- The Authority has also received funding through the British Mountaineering Council's (BMC) Mend our Mountains Campaign for the Cut Gate & Great Ridge Project with additional funding from Sheffield City Council.
- Additional funding was also being explored via the East Pennine Innovation Programme (EPIP), The European Outdoor Conservation Association (EOCA) and Heritage Lottery Funding.
  B(2)7, B(2)8

- The Authority has approved the continuation of the Authority's work with the MoorLIFE 2020 project partners to deliver projects outside the scope of that project for the duration of it to continue to improve SSSI conditions across the South and West Pennine Moors. In these projects the Authority provide a project management role through the Moors for the Future Team.
- The Authority also continues to support delivery of the South West Peak Landscape Partnership projects, which received additional external funding from the Water Environment Grant (WEG) and Esme Fairburn in March 2019.
  B(2)9

- In 2016, the Authority made a commitment to undertake a climate change vulnerability assessment on approximately 25% of the National Park's features. The assessment looked at the degree to which a feature of the special qualities is susceptible to, and unable to cope with, adverse effects of climate change, including climate variability and extremes. The Peak District National Park special qualities are as follows.
  - Beautiful views created by contrasting landscapes and dramatic geology.
  - Internationally important and locally distinctive wildlife and habitats.
  - Undeveloped places of tranquillity and dark night skies within reach of millions.
  - Landscapes that tell a story of thousands of years of people, farming and industry.
  - Characteristic settlements with strong communities and traditions.
  - An inspiring space for escape, adventure, discovery and quiet reflection.
  - Vital benefits for millions of people that flow beyond the landscape boundary.
- At the meeting of the Members Forum held on 1 February 2019 Members received an update on progress made and the next steps including proposals for further Member engagement. Is it worth referring the March Authority paper on it, which agreed the top 25% of special quality features that that vulnerability assessment will be undertaken on?
  B(2)11

- The February 2019 meeting of the Members Forum considered an update on Trans-Pennine Infrastructure Development (Transport and National Grid).
  B(2)12

- All the National Park Authorities within the UK have worked well together over many years. At the English level the 9 other nine English National Parks collaborate through National Parks England (NPE) and enhance NPAs profile for inspiring work and delivery across Government and key partners by proactively influencing policy and legislation and being a catalyst to support smarter use of resources amongst the National Park family in England. At the UK level Authorities collaborate on opportunities to communicate the national parks story and connect with wider and more diverse audiences, to seek efficiencies in support functions, develop income generating opportunities, support joint member training and strategic debates about the future opportunities for national parks across the UK.
- In February 2019 the Authority received an update on progress made during the past year and details of some of the future plans for ongoing collaboration.

- The Visit England Advisory Board awarded the English National Park Experience Collection an award for its outstanding contribution to tourism. The programme, supported through Visit England's Discover England Fund, involved National Parks across the country working together to offer more than 70 immersive experiences in and around National Parks.
  B(2)13

- Through external funding from the Water Environment Grant (WEG) the Authority has developed and delivered the Wye Water project. The project is part of ongoing works to improve water quality in the River Wye catchment, works in parallel with the fledgling White Peak Partnership, contributes to the proposal for a White Peak Defra Pilot following Brexit and the future of environmental land management schemes by trialling new and novel approaches to working with farmers and land managers on water quality and soil health.
  B(2)14

- The PDNPA has acted as the accountable body for the Discover England's National Parks Programme in 2017/18 and 2018/19. £1million of funding was awarded to England's National Parks, with £200k of cash match funding from NPA partners and £200k of monetised in-kind match funding.

- The current programme ends on 31st March 2019. However Visit England have awarded additional funding, and flexibilities to roll funding forward, from the Department for Digital, Culture, Media and Sport into Q1 and Q2 of 2019/20. As a consequence the Authority submitted an expression of interest for £120k of new funding, and sought permission to roll forward £80k of existing cash match funding which has been successful.
  B(2)15

- 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.

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

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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 the 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;
- Annual Parishes Day with Peak Park Parishes Forum

Review of action and assurances indicating maintenance/improvement to effectiveness

- The Audit, Resources and Performance Committee considered the outcome of consultation following the publication of proposals under Regulation 5 of the National Park Authorities' Traffic Orders (Procedure) (England) Regulations 2007 for a permanent traffic regulation order (TRO) at Wetton Hills.
- Having regard to the representations made pursuant to Regulations 4 and 7 of the 2007 Regulations, available evidence and the information in this report, the Authority agreed to make a Permanent Traffic Regulation Order under Section 22 BB(2)(a) of the Road Traffic Regulation Act 1984 to have the effect of prohibiting use by mechanically propelled vehicles at all times at Wetton Hills, subject to specified exceptions.
  B(3)1
- Members considered details of the implementation of the Authority's strategy for the management of recreational motorised vehicles. An update on the progress in 2018/19 and action plans for green lanes, illegal use and communications for 2019/20 were agreed.
  B(3)2
- Members received a report on the process and consultation that had taken place leading to the proposed revision of the Statement of Community Involvement.
  B(3)3

Issues identified which affect effectiveness

3.   Although the 2018-2023 National Park Management Plan has been approved and adopted by partners there are still risks around the delivery of the action plan due to all partners and stakeholders balancing National Park Management Plan priorities and their own corporate program.

(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;
- Delivery plans including risk registers;
- 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

- The Authority approved the overall structure, content and focus of the 2018/19 Performance and Business Plan, and in doing so agreed the Corporate Risk Register and the priority focus for the third year of the 2016-2019 Corporate Strategy. The Plan was published before the statutory deadline of 30 June 2018.
- In the Plan each priority action has been clearly assigned 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)1
- The Authority has approved and adopted the Corporate Strategy 2019-24. The Strategy builds on the National Park Management Plan agreed at Authority on 25 May 2018 and has been set in the context of the external environment and internal drivers.
- The development of the strategy was inclusive, through a series of workshops and discussions involving Authority Members and staff. It is designed to set the direction for the Authority and identifies the outcomes that the Authority would like to achieve.
- The strategy is the Authority's position prior to the conclusion of the National Parks Landscape Review, which will report to government in 2019. Should the review identify new issues or commitments, the strategy may need to be updated to reflect these.
  C(1)2
- In July 2018 the revised National Planning Policy Framework (NPPF) was formally adopted. This followed the publication of the Draft NPPF in March 2018 which had a consultation period that ran for just over 9 weeks, until 10th May 2018. The Authority responded to the consultation and liaised with the other English National Parks to form a joint response by National Parks England (NPE).
- The Planning Committee received a report outlining how the Authority had influenced the final wording used in the NPPF and outlining the key changes that the Government has made to the adopted NPPF.
  C(1)3
- Agreed the broad timescale and principles for programme management for the full review of the Local Plan for the National Park.
  C(1)4

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

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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 29% reduction in carbon emissions since the 2009/10 baseline period. Unfortunately this is marginally below the overall target of achieving a 30% reduction by the end of the 2016/17 year and one year late. 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. The 2017/18 period is effectively an interim year coming after the target period but before the next Corporate Strategy period. A new target has been established to run from 2019 to 2024 in line with the next Corporate Strategy.
  C(2)1

- Members considered a report on the top 25% of special quality features for inclusion in the climate change vulnerability assessment.
  C(2)2

- Higher Wigginstall Cottage and a detached Barn on the Warslow estate had become vacant following 26 years of residential occupation. Before re-letting to a new tenant the property the Authority decided to carry out significant refurbishment works in the region of £50,000. Although was not specifically identified in the approved Capital Programme 2015/16-2019/20 it was believed that the works would result in a higher rental income and a more sustainable tenancy. As the costs of the proposed refurbishment works were beyond the scope of the Warslow Moors Estate Revenue Budget it was agreed that they would be funded by additional borrowing in accordance with the approved Capital Strategy.
  C(2)3

- The Member Forum received a presentation on recent population projections and changing demographics and the implications of these changes for the Authority and the National Park.
  C(2)4

- In April 2018 the Authority initiated a project to develop the Edale Explorer, a seasonal visitor tour with a circular route commencing from Edale and going via Mam Nick and the Winnats Pass to Castleton and Hope and returning to Edale via Nether Booth. The Edale Explorer promotes sustainable travel, as it links with the Hope Valley Line train service at Edale and Hope stations, provides a link between the Edale and Castleton visitor centres and helps to provide access to the Great Ridge, the Winnats Pass, the Castleton Caverns and other local attractions.
  C(2)5

- Submitted an application to the RDPE Growth Programme for a project to restore the Millers Dale Goods Shed by reroofing a non-designated heritage asset and bringing it back in to use for the benefit of the general public.
  C(2)6

- The Authority's licences for MS Office expired in January 2019. Before the deadline the Authority considered the options to meet its requirements for a toolset to allow word processing, spreadsheets, presentations and an email client and decided to buy out the licenses provided under the previous Enterprise agreement on a perpetual basis.
  C(2)7

- Agreed re-let the North Lees Hall on the North Lees Estate as a residential or partly residential and partly commercial property for a period of 12 months with an option to extend this term under periodic arrangement from month to month subject to 2 months' notice to quit. Under the agreement the tenants are permitted to operate a bed and breakfast facility for one room (with bathroom) and lounge only with breakfast facilities available in the Hall kitchen.
  C(2)8

- Following decision in November 2017 to accept the legacy Lower Green House Farm, Calton, Staffordshire, the Audit, Resources and Performance Committee considered the future options for the property and agreed to sell the farm following the implementation of a conservation enhancement

scheme.
C(2)9

- Reconsidered the future options for the Brosterfield Site in Foolow and agreed to submit a revised planning application.
C(2)10, C(2)11

(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

- Planning Committee has recently started to receive quarterly reports on planning service performance including
    - The speed of determining applications for major development;
    - The quality of decisions made by the authority on applications for major development;
    - The speed of determining applications for non-major development;
    - The quality of decisions made by the authority on applications for non-major development.
  D(1)1
- The Planning Committee received a report summarising the work carried out by the Minerals and Waste Team from April 2017 to March 2018. Over the review period the Authority received 11 planning applications as follows:
    - 7 were applications to discharge or partly discharge conditions on existing permissions
    - 1 was a prior notification required under the General Permitted Development Order
    - 2 applications were application type Minerals

- o 1 was a GDO notification
- During the period 8 applications were determined as follows:
  - o 8 were granted or the condition was discharged or partially discharged
  - o All of the decisions were delegated
  - o 1 application was withdrawn in 2018 (which had been received in 2016).
- No Minerals Appeals had been made or decided within the year
- 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.
- In the period 35 mineral enforcement enquiries were received. Of these 16 are recorded as responded to and closed, while a number remain under investigation. In total the team served 1 Enforcement Notice, 0 Stop Notices, 0 Temporary Stop Notices and 2 Revocation Orders.
  D(1)2
- Designated that part of Brampton parish that is within the National Park as part of the Brampton Neighbourhood Area, under Schedule 9 of the Town and Country Planning Act 1990.
  D(1)3
- Designated two parish areas of Great Hucklow and Foolow, which includes the villages and hamlets of Foolow, Grindlow, Great Hucklow, Windmill, Little Hucklow and Coplowdale, as a neighbourhood area under Schedule 9 of the Town and Country Planning Act 1990.
  D(1)4
- 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 repointing 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 2017 – March 2018. The report also received quarterly performance reports setting out details of breaches that had been resolved in that 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.
  D(2)1,D(2)2, D(2)3
- The Strategic Leadership Team and Heads of Service have continued to meet monthly 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

- Established a charity, the Peak District National Park Foundation to support the corporate objective of diversifying income as part of the Commercial Development and Engagement plan. It was agreed that charity trustees and/or appropriate Authority officers would provide an annual report to the Authority and quarterly reports to the Authority's Audit Resources & Performance Committee in line with established corporate performance reporting timetable and procedures.
  D(3)1
- The Authority considered and approved proposals to change to the funding model of National Parks Partnership LLP (NPP) to a subscription based model on an amended business plan and to support the creation of a national charitable entity to support UK National Parks.
- In 2018/19, through National Parks Partnerships, the Authority has secured 1 year funding from The Sykes Holiday group and the Forest Holiday Group
  D(3)2
- Members continued to be involved in preparing the 2019/20 Budget through Strategic Financial Workshops held in October and November 2018.
- The 2017/18 AGS identified reputational and financial risks around the Authority being designated under section 62A of the Town and Country Planning Act 1990 because more than 10% of the Authorities decisions on applications for major development were overturned at appeal. The Authority made representations to the Ministry of Housing, Communities and Local Government (MHCLG) to emphasise that this was due to the low number of applications determined rather than the quality of decision making. This risk remained until feedback was received from the Ministry.
- In August 2018 the Authority received a letter from MHCLG advising that the Authority would not be designated on the basis of the performance figures on major applications and appeals in the qualifying

period (2015-17). This was in response to a letter from the Director of Conservation and Planning, explaining that the very low numbers of major applications and appeals in the National Park meant that a single appeal decision could put the Authority at risk of designation. The letter also set out the steps the Authority takes to ensure that decisions are sound.

- The 2017/18 AGS identified a remaining risk/concern in relation to meeting the corporate objective of diversifying and growing income. Specifically there remained a risk to the scale and speed of diversification and growth. There was a need for the Strategic Commercial and Outreach Development Plan to set out the process, activities, skills and investment required to deliver the Corporate Strategy plus the potential returns (scale and timeframe) from the implementation of the Plan.

- Income targets for the next 5 years have been analysed and identified for existing products and services and incorporated into the corporate strategy approved by the Authority in December 2018. A charity, The PDNP Foundation, has been setup with governance and resources in place. Two meetings have been held and a campaign to raise £70k for 70 years has been approved by Trustees. The new Director of Commercial Development and Engagement has shared further ideas for income diversification and growth. These will be developed into a plan with staff and members in 2019.

- During 2018/19 the work of the Authority was recognised through a number of External Awards including a Planning Excellence Award for the Stanton Moor Principles and award from Accessible Derbyshire for the Miles Without Stiles project.

Issues identified which affect effectiveness

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4.   Although the Peak District National Park Foundation is now set up and running there still remain risks, particular during the first year of operation, that it does not generate a high level of support and engagement. There still remain issues around the ability of the Authority to deliver its commercial ambitions.

(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 has considered proposals for a talent management programme to make sure that

staff are developed and encouraged to progress their careers within the Authority.
  E(1)1

- The Authority agreed a programme for the of the Authority's vehicles during 2019 due for replacement in 2019. The proposal considered:
    - The selection of appropriate vehicles to replace obsolete vehicles in line with the approved Capital Strategy
    - Balancing the environmental impact of the new manufacture, operation and end of life disposal of vehicles with the operational need for vehicles to deliver services.
    - Financing the replacements
    - Leasing vs buying decisions.
  E(1)2, E(1)3
- Agreed to seek reaccreditation for the Investors in People(IIP) award.
  E(1)4, E(1)5
- The responses from the staff survey were analysed with an Officer Working Group set up to develop and agree 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

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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 Officer

and 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
- Continued to provide a learning and development programme for Members. The Member participation rate for essential training/briefing events for 2018/18is 63% and for participation in formal meetings is 81%. During 2017/18 24% of Members have personal development plans and 24% completed a self-assessment.
  E(2)2, E(2)3
- 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 2017/18 figures were reported to the Annual Meeting in July 2018 when the overall attendance level was 81%. The 2018/19 attendance figures for individual members will be reported to the 2019 Annual Meeting but overall the attendance level remains at 81%.
- Continued to appoint Members to represent the Authority at meetings of various other organisations (outside bodies) and agreed appointments following a review of outside bodies. This year the Appointment Process Panel was involved in overseeing the process for making outside body appointments.
  E(2)4
- At the 2018 AGM a number of holders of key Member positions reached the maximum limit set out in the appointment principles. The Authority therefore appointed a new Chair of the Authority and a new Chair and Vice-Chair of the Audit Resources and Performance Committee and managed the transition.
  E(2)5
- Established a Governance Review Working Group to consider the following issues:
  - Are the roles and responsibilities of Members and Officers clear?
  - Are the current delegations to Committees and the list of matters reserved to meetings of the Authority right?
  - Could the Authority have more effective and efficient ways of involving Members in developing policy and informing them of other decisions made? and do Standing Orders or Codes need amending to facilitate this?
  - How can Members be proactively involved in getting items discussed?
  - Is the current level of delegation to Officers right? and could the structure of the Scheme of Delegation be improved to make it clearer?
  - What are the aims of the current Member representative scheme? How effective is it in

delivering its objectives?

- Approved the arrangements in place to deal with allegations regarding the conduct and behaviour of Chief Officers as defined in Part 5 of Standing Orders. This therefore includes the Chief Executive, the Section 151 Officer, the Monitoring Officer and the three non-statutory Chief Officers.

- Approved the arrangements in place to manage poor performance of PDNPA employees. This included officers, the Chief Executive, the Section 151 Officer, the Monitoring Officer and the three non-statutory Chief Officers.

- The Authority appointed a new Director of Commercial Development and Engagement.

- Established a Volunteer Co-ordination and Support Officer post to lead the co-ordination and support activities relating to the engagement, retention and deployment of volunteers throughout the Authority.

- The Local Authorities (Members' Allowances) (England) Regulations 2003 require most local authorities to establish and maintain an Independent Remuneration Panel (IRP) to carry out a regular independent review of the scheme. This requirement does not extend to a National Park Authority but in December 2017 the Authority agreed that an Independent Person would be appointed to carry out a review and report back to a future meeting of the Authority. Dr Declan Hall was appointed to carry out the review.

- In July Members considered the final report and agreed to:
    o increase the Basic Allowance paid to all Members to £2,300.
    o continue paying an additional Special Responsibility Allowance to the following six positions of responsibility at the rates indicated:
        ▪ Chair of the Authority at a multiple of 2.5 times the recommended Basic Allowance.
        ▪ Deputy Chair of the Authority at 50% of the allowance paid to the Chair of the Authority.
        ▪ Chair of Planning Committee at 50% of the allowance paid to the Chair of the Authority.
        ▪ Chair of Audit Resources and Performance Committee at 40% of the allowance paid to the Chair of the Authority.
        ▪ Vice Chair of Planning Committee at 66% of the allowance paid to the Chair of Planning Committee.
        ▪ Vice Chair of Audit Resources and Performance Committee at 50% of the allowance paid to the Chair of Audit Resources and Performance Committee.
    o confirm that no additional Special Responsibility Allowance is paid to:
        ▪ All Members of Planning Committee.
        ▪ Member Representatives.
    o reset the allowance paid to Co-optees at 25% of the Basic Allowance.
    o reset the allowance paid to the Authority's Independent Persons at 50% of the Basic Allowance.
    o maintain the existing definition of an approved duty for the payment of travel and subsistence for approved duties, subject to minor amendments to Schedule 2, as set out in paragraphs 115 and 116 of the Independent Report, to provide clarification.
    o maintain the existing travel rates so that they continue to match the rates paid to employees, subject to the introduction of a passenger supplement rate of 5 pence per mile per passenger up to a maximum of three passengers.
    o maintain the existing subsistence rates so that they continue to match the rates paid to employees, subject to providing further clarification on the process and conditions by which subsistence for Members is arranged and reimbursed, as set out in paragraph 124 of the Independent Report.
    o note that a National Park Authority does not have the statutory power to set or pay an allowance to contribute to the cost of care for Members' Dependents while they are engaged on Authority Business.
    o index the approved payments set out in the Authority's Members' Allowances scheme as follows:
        ▪ Basic Allowance, SRAs, Co-optees' Allowance and Independent Persons annual remuneration are indexed to the annual percentage salary increase for local government employees (at spinal column 49 or the equivalent level if the spinal column points are revised), to be applied from the same year that it applies to employees.
        ▪ Travel Allowances including Mileage Rates, and Subsistence Allowances are indexed to the same rate that is applicable to Officers, except the Passenger Supplement Mileage rate.

- There were three Secretary of State Member vacancies advertised during 2018/19. 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 Minster made one appointment with the two remaining vacancies carried over to the 2019 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.
- The 2017/18 AGS identified risks around not being able to attract or retain staff with key skills/experience to deliver the Corporate Strategy, However.
    o Employee turnover at the Authority for 2018/19 is 8% (as at 21st February 2019), compared to an average of 15.7% across the public sector and over the last three years, an average of 13 applications have been received for each vacancy advertised and this level of interest is expected to be maintained during 2018/19.
    o All Heads of Service posts, which have been advertised, are currently filled. A new Director was appointed during 2018/19 and it was interesting to note the high number of quality applications received. To attract a wide range of applicants the Authority made use of social media and digital networking platforms which will be considered for other key posts in the future.
    o Currently only three posts throughout the Authority attract a market supplement payment. It is acknowledged however that other specialist posts are generally regarded as difficult to fill. In order to minimise the impact upon the delivery of the Corporate Strategy, opportunities for work to be undertaken by partner organisations or externalised are considered and implemented where appropriate.
- To address a wide range of issues identified by staff which could impact upon retention, a programme of work (known as the People Matter Action Plan), was initiated. A summary of the outcomes was sent to all staff in September 2018. The response to the changes introduced has been very positive.
- Members were provided with information relating to the composition of the Authority's workforce and updated on important human resource-related projects including talent management and apprenticeships at a workshop held on 16th November. During 2018/19, four new apprentices were welcomed to the Authority.
- The 2017/18 AGS identified that there would be a significant turnover of Members currently holding posts that attract a special responsibility allowance who will, according to the Authority's appointment principles, have reached their maximum term of office. This along with a number of ongoing Secretary of State Member vacancies could impact on the capacity of Members.
- At the Authority's Annual General Meeting (AGM), held on 6th July 2018, new appointments were made to three of the six member posts which attract a special responsibility allowance.   No changes were made to the Authority's Independent Persons positions, whose posts also attract a special responsibility allowance. This level of turnover ensured a degree of continuity was maintained.
- During 2018/19 four new Members joined the Authority and it is envisaged that appointments will be made to the two vacant Secretary of State Member positions during the 2019/20 recruitment programme.
- An independent and comprehensive review of the Authority's Members Allowance Scheme was undertaken by Dr Declan Hall. Dr Hall's report was considered at the Authority's AGM and the recommendations relating to specific changes and the general operation of the scheme were adopted.
- Members agreed on 7th December 2018 to undertake a review of the Authority's existing governance arrangements. A working group has been established to explore ways in which the Authority's existing governance arrangements could be enhanced. The Terms of Reference and Scope of the review are available on the Authority's website.

6. As there will be District, Borough and Parish Council elections in May 2019 it is anticipated that there will be a turnover of Authority Members which will   result in a loss of the experience and knowledge. Because of the appointment timetable set by Defra it is likely that the Authority will have three Secretary of State Member vacancies for the first 4 to 5 months of 2019/20.

Issues identified which affect effectiveness

5. Although the Authority has appointed a number of apprentices during 2018/19 there are still risks that the Authority will not meet its targets on providing apprentice opportunities resulting in the amounts paid into the apprenticeship levy exceeding the amounts with-drawn. There also remains an issue about the Authority's ability to provide relevant longer term employment opportunities at the end of apprenticeships

and reap the benefits of utilising the skills experience and knowledge acquired.

6. As there will be District, Borough and Parish Council elections in May 2019 it is anticipated that there will be a turnover of Authority Members which will result in a loss of experience and knowledge. Because of the appointment timetable set by Defra it is likely that the Authority will have three Secretary of State Member vacancies for the first 4 to 5 months of 2019/20.

(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

- During 2018/19 Members reviewed the year end position for the Corporate Risk Register and approved the proposed Corporate Risk Register for the year.
- The Corporate Risk Register for 2018/19 was developed by the Leadership Team by:
  - Reviewing the 2017/18 corporate risk register year end position.
  - Considering risks that might prevent the achievement of year three of the 2016-2019 corporate strategy.
  - Considering risks in service plans that need to be escalated and monitored at a corporate level.
  - Considering the external environment that we operate in.
  F(1)1
- The Leadership Team and the Local Joint Committee received a report providing evidence that health and safety performance was satisfactory and continuously improving. The report included:
  - An overall appraisal of health and safety performance for the PDNPA 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 2017 for staff and visitors
  - A report on services provided to other National Parks and other third parties
  - Recommendations for further action through 2018/19
  F1(2)
- The Authority's occupational safety and health policy (OSH) is reviewed annually to ensure it is up-to-date with both the Authority arrangements and with current legislation. In 2018 the approved policy substantially refreshed the Authority's commitment to and arrangements for managing OSH.   The revised version for 2019, approved by the LJC and Health and Safety Committee consolidated this

approach and included further changes and additions to reflect new structures.

- During 2018/19 the Authority has appointed and trained a number of Mental Health first aiders located across all Directorates and embarked on a series of health and safety training sessions for the Operational Leadership Team and Team Managers.
- In partnership with an outside provider the Authority has encouraged all employees to complete short wellbeing questionnaire to help them to identify individual wellbeing and lifestyle hot-spots. After completing the questionnaire employees receive a Wellbeing Score, a Wellbeing Age and a Wellbeing Risk with personalised scores for 9 key lifestyle areas. The service also provides access to a resources library which contains lots of information, podcasts and videos on a comprehensive range of health issues.
  F(1)3

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

- 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)1, 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

- Advertised for a new Internal Audit contract with shortlisted suppliers interviewed and a preferred supplier awarded the contract from 1 April 2019 at the end of the current contract.
  F(3)1
- The Audit Resources and Performance Committee received the 2017/18 Internal Audit Annual Report. The overall opinion of the Head of Internal Audit on the framework of governance, risk management and control operating in the Authority was that it provides Substantial Assurance. There were no qualifications to this opinion and no reliance was placed on the work of other assurance bodies in reaching that opinion. There were 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.
- Out of 8 areas reviewed in 2017/18 3 areas received an opinion of 'High' assurance; "Substantial" and 1 "Reasonable".
  F(3)2
- Audit Resources and Performance Committee approved the Internal Audit Plan for 2018/19.
  F(3)3
- The Committee also received the Internal Audit Reports and recommendations and proposed management action to address the 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 number of privacy statements 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

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 2017/18 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 2019.
  F(5)2
- ARP considered the outturn for 2017/18, approved the necessary appropriations to or from reserves and agreed unspent funds and overspends to be carried forward into the 2018/19 financial year.
  F(5)3
- Developed Budget Proposals for 2019/20 to reflect the delivery of the new Corporate Strategy presented to Members on 7th December 2018, and workshops during the year. This budget was developed around the National Park Grant funded by the Department of Environment, Food and Rural Affairs for the final year if the Government's 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
- The 2017/8 AGS identified the risks around a failure to influence the transposing of EU laws and legislation for landscape and the environment into UK law after Article 50 and area of NP land safeguarded in agri-environment schemes reducing because of Brexit uncertainty and continuing issues with Countryside Stewardship.
- The area of land within agri-environment schemes remains a concern, but this is not within the Authority's control. The Authority is working with other English National Parks (through NPE) and with DEFRA to influence the design of future Environmental Land Management Schemes (ELMS). We have also submitted a pilot for the White Peak area, which has been approved in principle by DEFRA.

Issues identified which affect effectiveness

7.   There are still uncertainties around the implications of Brexit.

(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

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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

- Key governance documents, such as Standing Orders are published on the Authority website and available through the modern.gov app.
- Continued 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 being 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

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- Members reviewed and approved the Annual Governance Statement for 2017/18.
  G(2)1

Sub Principle: G(3) Assurance and effective accountability

We will:

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(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 2017/18.
  G(3)1
- Members considered the 2017/18 Annual Audit Letter which confirmed:
  - o An unqualified conclusion on the Authority's arrangements to secure value for money.
  - o 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.
  - o 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.
  - o 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
- Members considered the External Auditors' (KPMG) 2017/18 annual report.
  G(3)3
- Members considered the 2018/19 External Audit Strategy Memorandum from our external auditors, Mazars.
  G(3)4
- Received a report summarising the work carried out on planning appeals from 1 April 2017 to 31 March 2018. In 2018/19 37 new planning appeals were received of which 3 were withdrawn. 21 appeals have been determined, two of which were received during 2017/18. Of the appeals determined 40% were allowed and 60% were dismissed. The percentage of appeals dismissed in the year 2018/19 is 1% higher than in the previous year but again it should be noted that on such low numbers currently one appeal decision can change the percentages by 5%.
  G(3)5
- During 2018 a new telephony system was introduced to improve the quality, stability, resilience and availability of the Authority's telephony communications, but also add additional capability for the organisation through additional functionality. The new system helps the Authority to improve the service it offers to customers and supports the delivery of the business continuity plan.