



DARTMOOR NATIONAL PARK AUTHORITY

LOCAL CODE OF CORPORATE GOVERNANCE

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Introduction

Every local government body operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. Corporate governance arrangements encompass all of the policies and procedures that determine and control the way the authority operates. Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes from the services provided.

The foundation of the Dartmoor National Park Authority's corporate governance arrangements can be traced directly to the "Good Governance Standard for Public Services" published by the Independent Commission on Good Governance in Public Services in January 2005, and subsequently refined for local government through a framework promulgated in 2007 by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE).

In December 2009, the Authority adopted its own governance principles, customised to its own needs and circumstances from this framework. Since then, local government has been subject to continued reform to improve local accountability and engagement, and in 2016 CIPFA and SOLACE produced a revised framework "Delivering Good Governance".

This framework defines the principles that should underpin the governance of each local government body, and provides a structure which should assist individual authorities with their governance arrangements.

The Core Principles are:

- Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law;
- Principle B: Ensuring openness and comprehensive stakeholder engagement;
- Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits;
- Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes;
- Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it;
- Principle F: Managing risks and performance through robust internal control and strong public financial management;
- Principle G: Implementing good practice in transparency, reporting and audit to deliver effective accountability.

In addition to the ***overarching requirements for acting in the public interest*** in Core Principles A and B, achieving good governance also requires a commitment to Core Principles C to G. In order to translate these principles into practice, the Authority needs to operate through a clear Corporate Governance policy supported by a Local Code of Corporate Governance.

The Authority's Values

Dartmoor National Park Authority will apply the following values to all its work:

1 Strong and Fair Leadership

Members and Officers will provide strong and effective leadership and provide a clear vision for the organisation, acting as champions for Dartmoor National Park, both within the Park and beyond

2 Integrity

We will strive to ensure that our relationships with the public, partners and each other are founded on honesty transparency, impartiality and consistency. We welcome and respect diversity and will demonstrate equality in all aspects of our work

3 Involvement

We will seek to be open and approachable and proactively seek participation from all sectors of society in achieving our statutory purposes

4 Accountability

We will take responsibility for our decisions and ensure all decisions and actions of the Authority are open and transparent, with clear reasons.

5 Improvement

We will endeavour to continually improve our performance in delivering National Park purposes and welcome feedback to help us achieve this

6 Valuing People

We value the people who work for us and will ensure staff, Members and volunteers are equipped to undertake their roles effectively

7 Action Focused

We will remain focused on our agreed priorities and doing what we say

Responsibilities

Members of the Authority are collectively and individually responsible for good governance. Primary responsibility lies with the Chairman who has a key role in ensuring there is a culture within the organisation which reflects its values. The Chairman is supported in this role by all members, but particularly the Deputy Chairman and the Chairmen of the committees and sub-committees of the Authority.

The Audit & Governance Committee is responsible for advising the Authority on its corporate governance policies and agenda, and implementing and managing the Authority's agreed policies in this area. It will receive an annual governance report incorporating the Annual Governance Statement. The Standards Sub-Committee is responsible for the oversight of ethical issues.

Officers of the Authority are responsible for following the policies and procedures of the Authority in support of the Governance arrangements. Particular responsibility is vested in the "Statutory Officers", namely the Chief Executive as Head of Paid Service, the S151 officer who has responsibility for the financial affairs of the Authority and the Monitoring Officer. The lead officer on Governance issues is the Monitoring Officer.

Internal and external auditors are responsible for assessing the Authority's governance arrangements and providing assurance to Members through audit reports and the Annual Governance Report.

LOCAL CODE OF CORPORATE GOVERNANCE

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law

Supporting Principles:	Evidenced by:
<p><u>Behaving with integrity</u></p> <p>Ensuring Members and Officers behave with integrity and lead a culture where acting in the public interest is visibly demonstrated thereby protecting the reputation of the Authority.</p> <p>Ensuring Members and Officers take a lead in establishing specific standard principles or values for the organisation (based on seven Nolan Principles)</p> <p>Leading by example and using the principles as framework for all actions and decisions</p> <p>Demonstrating, communicating and embedding the standard operating principles through appropriate policies and processes, which are regularly reviewed to ensure effectiveness</p>	<p>Member & Officer Codes of Conduct Officer and Member Induction programme Officer and Member processes appraisal</p> <p>Organisational Development Strategy Communications Strategy Statement of Community Involvement Mission Statement and Core Values in Business Plan & National Park Management Plan</p> <p>Standing Orders Register of Interests & declaration at meetings Declaration of gifts and Hospitality Record of decisions made Appointment of Independent Persons to Standards Sub-Committee Arrangements for dealing with complaints and regular review to make changes and improvements Declaration of interests made at meetings Scheme of Delegation, and records of decisions Financial Regulations & Procurement Procedures Confidential Reporting Policy - Whistleblowing Anti-fraud & Corruption Policy</p>
<p><u>Demonstrating strong commitment to ethical values</u></p> <p>Seeking to establish, monitor and maintain the Authority's ethical standards and performance</p> <p>Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the Authority's culture and operation</p> <p>Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values</p> <p>Ensuring that external providers of services on behalf of the Authority act with the integrity and ethical standards expected by the Authority</p>	<p>Organisational Development Strategy Roles and Responsibilities of Members Job Descriptions for Chairman and Members Codes of conduct Staff and Member Appraisal process Equal Opportunities Policy Statement HR policies Fair Trade and sustainability principles embedded in procurement policy Contractor vetting Partnership arrangements backed up with robust formal legal agreements, setting out roles, responsibilities and behaviours</p>

<p><u>Respecting the rule of law</u></p> <p>Ensuring Members and Officers demonstrate strong commitment to the rule of law</p> <p>Creating the conditions for the three Statutory Officers and Members to fulfil their regulatory responsibilities</p> <p>Striving to optimise the use of full powers available for the benefit of stakeholders</p> <p>Dealing effectively with breaches of legal or regulatory provisions</p> <p>Ensuring corruption and misuse of powers are dealt with effectively</p>	<p>Standing Orders and Scheme of Delegation</p> <p>Role of three Statutory Officers</p> <p>Role of Monitoring Officer to report on illegality</p> <p>Role of Chief Financial Officer to report on unlawful expenditure</p> <p>Appointment of Internal and External Auditors and reporting arrangements in place to Audit and Governance Committee</p> <p>Annual Governance Review and Statement</p> <p>Registration of Related Party Transactions</p> <p>Declarations of lobbying and declarations of interests at committee meetings</p> <p>Transparency about business dealings between the Authority, Members and senior Staff</p> <p>Record of decisions and legal advice given</p> <p>Anti-Fraud and Corruption Policy</p> <p>Confidential Reporting (Whistleblowing) procedures</p>
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Principle B: Ensuring openness and comprehensive stakeholder engagement

Supporting Principles:	Evidenced by:
<p><u>Openness</u></p> <p>Ensuring an open culture through demonstrating, documenting and communicating our commitment to openness.</p> <p>Making decisions that are open and transparent; presumption against confidentiality without justification</p> <p>Providing clear reasoning and evidence relating to actions and decisions, and ensuring the impact and consequences are clear</p> <p>Using formal and informal consultation and engagement to determine the most appropriate courses of action</p>	<p>Compliance with the Freedom of Information Act</p> <p>Access to Information arrangements</p> <p>Agreed actions to comply with the Openness of Local Government Regulations 2014</p> <p>Agreed actions to implement the requirements of the Data Transparency Code and arrangements for the information to be available on the website</p> <p>Adoption of the ICO's standard Publication Scheme</p> <p>Publication of agendas, reports and minutes for the Authority and its Committees on the website</p> <p>Record of decisions made published on the website</p> <p>Published calendar of meetings and internal corporate calendar to ensure timetable met</p> <p>Reports include legal, financial, and human resources (HR) equality implications where necessary.</p> <p>Record of discussion and decisions recorded in minute and published on website</p> <p>Residents (and other) Surveys</p> <p>Consultations undertaken on range of service delivery matters and strategic plans</p>

	<p>Formal and informal consultation National Park Management Plan steering group and Delivery Board Local plan consultations Stakeholder consultations Attendance by Officers and Members at Parish Council meetings National Park Forum Dartmoor Farmers Forum Parish Council workshops Local Access Forum</p>
<p><u>Engaging comprehensively with institutional stakeholders</u></p> <p>Ensuring that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.</p> <p>Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.</p> <p>Ensuring that partnerships are based on trust, a shared commitment to change, and a culture that promotes and accepts challenge among partners; the added value of partnership is explicit</p>	<p>Communications Strategy</p> <p>Corporate Contacts database to enable engagement with stakeholders for correct purposes</p> <p>Partnership arrangements backed up with robust formal legal agreements, setting out roles, responsibilities and behaviours</p>
<p><u>Effective engagement with individual citizens and service users</u></p> <p>Establishing a clear policy on consultation with stakeholders to ensure service provision contributes to intended outcomes</p> <p>Ensuring communication methods are effective in relation to community engagement</p> <p>Encouraging, collecting and evaluating the views of stakeholders including reference to future needs</p> <p>Implementing effective feedback mechanisms and ensuring inclusivity of all feedback</p> <p>Balancing feedback from more active stakeholder groups with other groups to ensure inclusivity.</p> <p>Taking account of impact of decisions on future generations of taxpayers/service users</p>	<p>Communications Strategy Statement of Community Involvement Public consultations undertaken as required, well publicised and results and feedback reported to the Authority</p> <p>Formal and informal consultation: National Park Management Park steering group Local plan consultations Stakeholder consultations Attendance by Officers and Members at Parish Council meetings National Park Forum Dartmoor Farmers Forum Parish Council workshops Local Access Forum</p>

Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits

Supporting principles:	Evidenced by:
<p><u>Defining Outcomes</u></p> <p>Having a clear vision as an agreed formal statement of the Authority's purpose and intended outcomes</p> <p>Specifying the intended impact on stakeholders</p> <p>Delivering defined outcomes on a sustainable basis within resources</p> <p>Identifying and managing risks to the achievement of outcomes</p> <p>Managing service users expectations with regard to determining priorities</p>	<p>The Authority's role defined by the two statutory purposes and the duty; and the Mission Statement & Vision in the National Park Management Plan and Business Plan.</p> <p>Service Plans and individual work programmes</p> <p>The National Park Management Plan: developed together with partner organisations - sets 20 year vision and 5 year objectives.</p> <p>The Business Plan is developed from the Management Plan to implement the objectives</p> <p>Financial planning - annual budget and Medium Term Financial Plan</p> <p>Risk management policy & Strategic Risk Register</p> <p>Performance Management Framework and reporting quarterly to Leadership Team and Audit & Governance Committee</p>
<p><u>Sustainable economic, social and environmental benefits</u></p> <p>Consider and balance the combined economic social and environmental impact of policies, plans and decisions</p> <p>Taking a long term view with regard to decision making, taking account of risk and acting transparently in the face of conflicting interests</p> <p>Determining the wider public interest when balancing conflicting interests, through consultation where possible</p>	<p>Equality, sustainability and environmental impact assessment undertaken for projects, work programmes and service delivery when relevant</p> <p>Devolution Prospectus, Productivity Plan and Rural productivity network via Heart of the South West</p> <p>Member Working Panels provide opportunities for Officer / Member discussion, evaluation and assessment in advance of and to aid decision making process</p> <p>Records of decisions published on website in committee minutes</p> <p>Public consultations undertaken when required with groups as set out previously</p>

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes

Supporting principles:	Evidenced by:
<p><u>Determining Interventions</u></p> <p>Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating associated risks, thereby ensuring best value is achieved</p> <p>Considering feedback from citizens and service users when making service improvements in order to prioritise competing resource demands</p>	<p>Member Working Panels provide opportunities for Officer / Member discussion, evaluation and assessment in advance of and to aid decision making process</p> <p>Committee reports contain rationale and relevant considerations / options appraisals / Financial implications on which decisions are based.</p> <p>Equality, sustainability and environmental impact assessments considered when relevant</p>
<p><u>Planning Interventions</u></p> <p>Establishing and maintaining robust planning and control cycles for plans, priorities and targets</p> <p>Engaging with stakeholders in relation to planning and delivery; considering and monitoring risks facing each partner when working collaboratively, including shared risks</p> <p>Ensuring arrangements are flexible and adaptable to changing circumstances</p> <p>Establishing key performance indicators; and ensuring capacity exists to generate information needed to review service quality regularly</p> <p>Prepare budgets in accordance with objectives, strategies and the medium term financial plan</p> <p>Inform medium and long term resource planning through a sustainable funding strategy</p>	<p>Reporting cycles for Business Plan targets, priorities , financial budget, corporate governance and risk management in place</p> <p>Communications Strategy</p> <p>Residents survey, consultation exercises and Forums in place as described previously</p> <p>Risk management policy and Strategic Risk Register focuses on key risks; monitored and reviewed quarterly and plans adapted accordingly</p> <p>National Park family and local performance indicators to reflect Business Plan outcomes. Service delivery Dashboards in place for all service areas. Reviewed and reported quarterly</p> <p>Annual budget and Medium Term Financial Plan process that is aligned with Business Plan, National Park Management Plan and Defra’s Eight Point Plan for National Parks and other Government policies</p> <p>Service plans and individual work programmes produced to reflect Business Plan priorities</p> <p>Reserves reviewed and maintained on a risk based approach</p>

<p><u>Optimising achievement of intended outcomes</u></p> <p>Ensuring the budget process is all-inclusive of full cost of operations over medium and longer term</p> <p>Ensuring medium term financial strategy is responsive to external circumstances to optimise resource usage/integrates and balances resource constraints</p>	<p>Annual budget and Medium Term Financial Plan process that is aligned with Business Plan, National Park Management Plan and Eight Point Plan</p> <p>Regular budget monitoring reports to Leadership Team and Audit & Governance Committee allows realignment if required.</p>
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Principle E: Developing the entity’s capacity, including the capability of its leadership and the individuals within it;

Supporting principles:	Evidenced by:
<p><u>Developing capacity</u></p> <p>Reviewing operations and resources to ensure continued effectiveness</p> <p>Improving allocation of resources so that defined outcomes are achieved effectively and efficiently</p> <p>Recognising the benefits of partnership working where added value can be achieved</p> <p>Developing and maintaining an effective workforce plan to enhance allocation of resources</p>	<p>Workforce planning overseen and reviewed by Leadership Team</p> <p>ICT Strategy</p> <p>Internal and external audit of processes</p> <p>National Park Management Plan review cycle</p> <p>Business Plan review cycle</p> <p>Budgetary control reported to Leadership Team and Audit & Governance committee</p> <p>Continuous review of Partnerships and delivery of outcomes</p> <p>Performance Indicators and benchmarking undertaken with other National Parks</p>
<p><u>Developing capability of leadership</u></p> <p>Developing protocols to ensure that shared understanding of roles and responsibilities is maintained</p> <p>Ensuring Chairman and CEO have clearly defined roles</p> <p>Publishing a statement that specifies the types of decisions</p> <p>Developing capabilities of Members and Senior Management by giving access to induction and ongoing training; Members</p>	<p>Codes of conduct</p> <p>Officer Job descriptions, person specification and competency framework</p> <p>Organisational Development Strategy</p> <p>Role/Protocols of Statutory Officers</p> <p>Clear Members Roles and Responsibilities</p> <p>Member Champion role</p> <p>Scheme of Delegation, Standing Orders and Financial Regulations regularly reviewed</p> <p>Decisions published through Open Data requirements</p> <p>Member job descriptions</p> <p>Staff and Member induction programme</p> <p>Training and Development programmes for Members</p>

<p>and Officers have appropriate skills and support to fulfil roles and this is kept updated; development through shared learning and learning from identified weaknesses</p> <p>Ensure structures in place to encourage public participation in development</p> <p>Taking steps to ensure leadership's effectiveness through peer reviews and appraisals</p> <p>Holding staff to account through performance reviews</p> <p>Ensuring arrangements in place to maintain physical and mental wellbeing of Officers</p>	<p>and Officers</p> <p>Staff Development & Training Days</p> <p>Bi-annual All Staff Meetings</p> <p>Focus groups</p> <p>Residents Survey</p> <p>Forums and groups as described previously</p> <p>Member and Officer Appraisals; including CEO</p> <p>Role of Chairman Job Descriptions</p> <p>Member and Officer personal development plans and Officer competency framework</p> <p>HR Policies and procedures</p> <p>Access to Occupational Health scheme</p> <p>Employees Assistance Programme in place</p>
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Principle F: Managing risks and performance through robust internal control and strong public financial management

The local code requires us to:	Evidenced by:
<p><u>Managing risk</u></p> <p>Ensuring risk management is an integral part of all decision making</p> <p>Implementing robust and integrated risk management</p> <p>Ensuring individual responsibilities for managing risk are clearly allocated</p>	<p>Risk Management Policy in place and Strategic Risk Register approved annually and reviewed by Leadership Team and Audit & Governance Committee on continual basis</p> <p>Operational risk is built into service plans and work programmes and monitored by Heads of Service</p> <p>Scheduled risk and review meetings with insurers</p> <p>Risk based approach to financial management and maintenance of Reserves and working balances</p> <p>Internal and External Audit report to Members on a risk based approach</p>
<p><u>Managing performance</u></p> <p>Monitoring service delivery effectively</p> <p>Making decisions based on clear and relevant objective analysis including risks</p> <p>Providing Members and LEADERSHIP TEAM with regular reports on service delivery</p> <p>Encouraging effective and constructive challenge and debate on policies and objectives</p> <p>Ensuring consistency between specification stages and post implementation reporting</p>	<p>Robust performance management framework in place: Business Plan monitoring, Performance Indicators, Service delivery Dashboards, Risk Register and Financial Management; reviewed by Leadership Team and Audit & Governance Committee on quarterly basis</p> <p>Working Panels review and debate new policies and projects in advance of formal approval being sought</p> <p>Performance Improvement reviews are carried out by small member/officer teams including Members via Audit & Governance Committee</p> <p>Terms of Reference for Audit & Governance Committee and appropriate training provided</p> <p>Financial Regulations and financial management</p>

<p><u>Robust internal control</u></p> <p>Aligning risk management strategy and policies Evaluation and monitoring risk management Ensuring counter-fraud and anti-corruption measures in place Ensuring additional assurance through effective internal audit Ensuring audit committee independent of the executive</p>	<p>Risk management policy and strategic risk register in place and reviewed and monitored on quarterly basis</p> <p>Anti- fraud and corruption policy in place a regularly reviewed Internal Audit provided by Devon Audit Partnership Audit & Governance Committee in place as previously described</p>
<p><u>Managing data</u></p> <p>Ensuring effective arrangements for safe collection and use of data including sharing of personal data Effective arrangements for sharing data with other bodies Regularly reviewing and auditing quality and accuracy of data used in decision making and performance monitoring</p>	<p>Data Protection Policy and Procedures Compliance with Data Protection Regulations (GDPR) Nominated Data Protection Officer Data Sharing arrangements made and signed off as required with third parties Access to information Policy includes storage and retention guidelines Compliance with Payment Card Industry Standard</p>
<p><u>Strong public financial management</u></p> <p>Well-developed financial management to support long term and short term financial and operational performance Ensuring financial management is integrated at all levels of planning and control</p>	<p>Robust financial planning processes and procedures: Annual budget and Medium Term Financial Plan linked to the Business Plan and National Park Management Plan Quarterly budget monitoring reports to Leadership Team, and Audit & Governance Committee. Risk based approach to maintenance of reserve balances Financial implications considered and reported in all committee reports and in project management framework</p>

Principle G: Implementing good practice in transparency, reporting and audit to deliver effective accountability

The local code requires us to:	Evidenced by:
<p><u>Good Practice in Transparency</u></p> <p>Writing and publishing reports in a balanced, understandable and easily accessed style Striking a balance with regard to the amount of information provided</p>	<p>Reports template used for all committees and reports reviewed and signed off by senior officers before publication All committee business published on website Freedom of Information/Environmental Information Regulations compliance Publication Scheme Open Government requirements (including delegations)</p>

	Annual Review published on Website
<p><u>Good Practice in Reporting</u></p> <p>Reporting at least annually on performance, value for money and stewardship of resources in a clear, timely way</p> <p>Ensuring members and officers take “ownership” of the reported results</p> <p>Ensuring robust arrangements for assessing the principles in this framework are applied, including an action plan for improvement</p> <p>Ensure this framework is applied to joint working/shared services</p> <p>Ensuring that performance information accompanying the financial statements is prepared on a consistent and timely basis and allows for comparison with similar organisations</p>	<p>Robust performance management framework in place: Business Plan monitoring, Performance Indicators, Service delivery Dashboards; reviewed by Leadership Team and Audit & Governance Committee on quarterly basis</p> <p>Annual Review</p> <p>External Audit reports to Authority annually on Value for Money and Use of Resources</p> <p>Scheme of Delegation, Standing Orders, Financial Regulations</p> <p>Continual review of systems of internal control by officers and Internal / External audit.</p> <p>Formal review of governance arrangements in order to produce the Annual Governance Statement to accompany the Statement of Accounts</p> <p>Annual Review report produced at year end that summarises the Authority’s performance against Business Plan objectives and outcomes.</p> <p>National Park family performance indicators reported annually</p>
<p><u>Assurance and accountability</u></p> <p>Ensuring that recommendations for corrective action made by external audit are acted on</p> <p>Ensuring an effective internal audit service is in place</p> <p>Welcoming peer challenge and regulatory inspections and acting on recommendations</p> <p>Gaining assurance on risks delivered through third parties and ensuring that this is evidenced in the annual governance statement</p> <p>When working in partnership, ensuring arrangements for accountability are clear</p>	<p>Internal and External audit plans and reports taken to Audit & Governance Committee and to the Authority at year end. All recommendations and actions reported publically</p> <p>Internal Audit provided by the Devon Audit Partnership who demonstrate compliance with Public Sector Internal Audit Standards</p> <p>Benchmarking and Officer working groups in place across National Parks family to challenge, learn and share best practice.</p> <p>Audit report recommendations are followed up and implemented</p> <p>Formal partnership agreements are always put in place that set out roles, responsibilities, accountabilities and risk.</p> <p>Continual risk management undertaken and reported to Members during the year to provide assurance</p>