DARTMOOR NATIONAL PARK AUTHORITY

10 May 2019

STATEMENT OF ACCOUNTS 2018/19
LETTERS TO MANAGEMENT AND TO THOSE CHARGED WITH GOVERNANCE

Report of the Head of Business Support

Recommendation: **That Members review and approve the responses to auditor questions as set out in Appendix 2**

1   Audit process

1.1   In order for Grant Thornton (GT), our external auditors, to comply with International Auditing Standards whilst undertaking their audit work for the Financial Statements, there is a need to establish an understanding of the management processes in place to prevent and detect fraud and to ensure compliance with law and regulation.

1.2   GT is also required to make inquiries of both Management and "*Those Charged with Governance*" (Members of the Authority) as to their knowledge of any actual, suspected or alleged fraud. Each year the auditors need to refresh their understanding of how Dartmoor National Park Authority (the Members) gain assurance over management processes and arrangements.

1.3   GT has therefore written to and requested that Management and "*Those Charged with Governance*" formally respond to a series of questions in respect of operational issues as well as the financial statements. A copy of both letters can be found at Appendix 1.

1.4   GT has requested that the responses given should be formally considered by the Authority, at the earliest possible convenience, which is why they are being presented to you today, but before you have had sight of the Financial Statements, which are currently being prepared.

1.5   I can confirm that the Chair of Audit & Governance Committee and the Authority's Leadership Team have been consulted and had an opportunity to provide input to the responses, which can be found at Appendix 2.

1.6   Members are therefore requested to review and approve the responses provided.

DONNA HEALY

Attachments: Appendix 1 – Letters from Grant Thornton
                Appendix 2 – Responses from Management & Those Charged with Governance

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![Grant Thornton - An instinct for growth]

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18 March 2019

Dear Donna,

Dartmoor National Park Authority - Financial Statements for the year end 31 March 2019

To comply with International Auditing Standards, we need to establish an understanding of the management processes in place to prevent and detect fraud and to ensure compliance with law and regulation. We are also required to make inquiries of both management and Those Charged with Governance as to their knowledge of any actual, suspected or alleged fraud. International Auditing Standards also place certain obligations on auditors to document management's view on some key areas affecting the financial statements.

To assist us in meeting these requirements, I should be grateful if you would consider and formally respond to the matters set out in the attached schedule. In completing this task, you may wish to take into account the views of other Officers where you think appropriate. The schedule relates to operational issues as well as the financial statements.
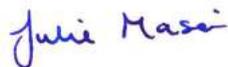
In addition to our request to management, we also will need to gain an understanding of how the Dartmoor National Park Authority Committee maintains oversight of the above processes. I have also attached a copy of the letter that I intend to send to the Chair of the Dartmoor National Authority Park Authority, for your information:

In preparing your responses, it would assist me greatly if you could include a summary of evidence that you have relied on to inform your responses, and the sources of assurance that you have that the relevant management controls have operated effectively through the financial year to date and will operate up to the date the accounts are approved.

I think it would be useful to coordinate both the Dartmoor National Park Authority and management responses to our letters in time for discussions at the next appropriate Dartmoor National Park Authority meeting. Please can we have formal written responses to these questions in time for the meeting?

Please contact me if you wish to discuss anything in relation to this request.

Yours sincerely

Julie Masci

Julie Masci

Engagement Lead
For Grant Thornton UK LLP

grantthornton.co.uk

![Grant Thornton - An instinct for growth]

Chair of Audit and Governance Committee
Dartmoor National Park Authority
Parke
Bovey Tracey
Newton Abbot
TQ13 9JQ

18 March 2019

Dear Sirs

Dartmoor National Park Authority – Financial Statements for the year end 31 March 2019

Understanding how the Dartmoor National Park Authority gains assurance from management

To comply with International Auditing Standards, each year we need to refresh our understanding of how the Dartmoor National Park Authority gains assurance over management processes and arrangements.

I would be grateful, therefore, if you would write to me with your responses to the following questions.

- How does the Dartmoor National Park Authority oversee management's processes in relation to:

  - carrying out an assessment of the risk the financial statements may be materially misstated due to fraud or error

  - identifying and responding to the risk of breaches of internal control

  - identifying and responding to risks of fraud in the organization (including any specific risks of fraud which management have identified or that have been brought to its attention, or classes of transactions, account balances, or disclosure for which a risk of fraud is likely to exist)

  - communicating to employees its views on appropriate business practice and ethical behavior (for example by updating, communicating and monitoring against the codes of conduct)?

- Do you have knowledge of any actual, suspected or alleged frauds? If so, please provide details.

- How does the Dartmoor National Park Authority gain assurance that all relevant laws and regulations have been complied with?

- Are you aware of any actual or potential litigation or claims that would affect the financial statements?

I have attached a separate schedule which explores these areas in more detail.

For information, we are also required to make enquiries of management and recently sent a letter and schedule of questions to Donna Healy. We suggest that it would be useful to co-ordinate both the Dartmoor National Park Authority and management responses in time for discussion at the next

Dartmoor National Park Audit and Governance Committee meeting on 24 May 2019. Please contact me if you wish to discuss anything in relation to this request.

Yours sincerely
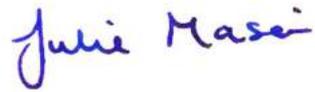
Julie Masci

Engagement Lead
For Grant Thornton UK LLP

Responses from Management:

Auditor question	Response
What do you regard as the key events or issues that will have a significant impact on the financial statements for 2018/19?	None at this time – no significant change or issues that have had a significant impact. We will update you further during the audit.
Have you considered the appropriateness of the accounting policies adopted by the Authority? Have there been any events or transactions that may cause you to change or adopt new accounting policies?	Yes No
Are you aware of any changes to the Authority's regulatory environment that may have a significant impact on the Authority's financial statements?	None
How would you assess the quality of the Authority's internal control processes?	Excellent – see internal audit reports
How would you assess the process for reviewing the effectiveness of internal control?	Excellent – very thorough. See review of AGS and Internal Audit's Financial Systems Audit report
How do the Authority's risk management processes link to financial reporting?	Comprehensive 'live' Strategic Risk Register (which includes financial risk) is reviewed quarterly by LT and half yearly by A&G. Operational risk are monitored within service areas. The finance team is appropriately qualified, trained & skilled with robust performance management. All financial transactions centralised. Appropriate levels of internal control & separation of duties in place.
How would you assess the Authority's arrangements for identifying and responding to the risk of fraud?	See above. See also Anti Fraud & Corruption Policy
What has been the outcome of these arrangements so far this year?	Robust monitoring & review as normal – nothing significant to report. No fraud.
What have you determined to be the classes of accounts, transactions and disclosures most at risk to fraud?	The risk of fraud is very low – but the obvious are Creditors and Payroll
Are you aware of any whistle blowing potential or complaints by potential whistle blowers? If so, what has been your response?	None
Have any reports been made under the Bribery Act?	None
As a management team, how do you communicate risk issues (including fraud) to those charged with governance?	Strategic Risk Register Financial Regulations Procurement Policy & Procedures Standing Orders & Scheme of Delegation Employee & Member Code of Conduct

	Internal & External Audit Reports Annual Governance Statement Local Code of Corporate Governance Performance & Financial Management Reports
As a management team, how do you communicate to staff and employees your views on business practices and ethical behaviour?	Strategic Risk Register Financial Regulations Procurement Policy & Procedures Standing Orders and Scheme of Delegation Employee Code of Conduct HR Policies & Procedures and Organisational Development Strategy Staff induction training Team briefings and all staff meetings Appraisals All key documents are on the Intranet and some are available of the Authority's website
What are your policies and procedures for identifying, assessing and accounting for litigation and claims?	Leadership team liaises & works closely with the Legal Services team at DCC. We are a small Authority and therefore we are able to communicate easily, and can work together to assess any risk and account for any claims accordingly. Robust complaints procedure, managed by the Head of Organisational Development (member of LT) reported to LT quarterly Insurance (& claims) managed by Head of Business Support
Is there any use of financial instruments, including derivatives?	No
Are you aware of any significant transaction outside the normal course of business?	None
Are you aware of any changes in circumstances that would lead to impairment of non-current assets?	None
Are you aware of any guarantee contracts?	None
Are you aware of allegations of fraud, errors, or other irregularities during the period?	None
Are you aware of any instances of non-compliance with laws or regulations or is the Authority's on notice of any such possible instances of non-compliance?	None
Have there been any examinations, investigations or inquiries by any licensing or authorising bodies or the tax and customs authorities?	None

Are you aware of any transactions, events and conditions (or changes in these) that may give rise to recognition or disclosure of significant accounting estimates that require significant judgement?	None
Where the financial statements include amounts based on significant estimates, how have the accounting estimates been made, what is the nature of the data used, and the degree of estimate uncertainty inherent in the estimate?	Nothing new. Pensions liability and PPE - use of external valuer and Actuary. See working papers in closedown file.
Are you aware of the existence of loss contingencies and/or un-asserted claims that may affect the financial statements?	None
Although the public sector interpretation of IAS1 means that unless services are being transferred out of the public sector then the financial services should be prepared on a going concern basis, Management is still required to consider whether there are any material uncertainties that cast doubt on the Authority's ability to continue as a business. What is the process for undertaking a rigorous assessment of going concern? Is the process carried out proportionate in nature and depth to the level of financial risk and complexity of the organisation and its operations? How will you ensure that all available information is considered when concluding the organisation is a going concern at the date the financial statements are approved?	The financial outturn position, the level of Reserve Balances and a risk assessed analysis of the reserve balances are considered in detail by both Management and the Authority. This is also carried out when building the annual budget and MTFP. Management, the Authority and the S151 Officer considers the Authority to be in a strong financial position for the future, with a robust level of reserves and an effective operating budget. Future risk & uncertainty is identified in the Strategic Risk Register and Business Plan, with appropriate work programmes in place to ensure that the Authority can continue as a going-concern. NPG has been confirmed up to the 2019/20 financial year. We are aware of no plans by Government to disband National Park Authorities. There are currently no material uncertainties identified. See statement above. Risks are identified in the Strategic Risk Register which continues is monitored throughout the year. Yes the process is proportionate to the size and complexity of this type of organisation; especially as the Authority is funded most significantly by 1 single source i.e. Defra NPG.
What is the position on the prior year's reported internal control deficiencies i.e. the issues raised in the Audit Findings Report?	None - Not applicable

Other than in house solicitors, can you provide details of those solicitors utilised by the Authority during the year. Please indicate where they are working on open litigation or contingencies from prior years?	We have engaged external legal support in respect for Planning / Enforcement cases. A schedule will be provided. We will update you at the time of the audit.
Can you provide details of other advisors consulted during the year and the issue on which they were consulted?	Advisors: Land and buildings leases: NPS (SW) Ltd
Have any of the Authority's service providers reported any items of fraud, non-compliance with laws and regulations or uncorrected misstatements which would affect the financial statements?	None

Response from Audit and Governance Committee Chair

Fraud risk assessment

Auditor Question	Response
Has the Authority assessed the risk of material misstatement in the financial statements due to fraud?	Yes
What are the results of this process?	The view of A&G Committee is that the risk is low, there are adequate systems of internal control & separation of duties. The committee receives regular financial, performance and governance reports including the risk register and business plan. The Authority has an excellent track record in terms of financial management and reporting, and the committee received all audit reports - which are exemplary. The finance team are experienced, qualified and high performing.
What processes does the Authority have in place to identify and respond to risks of fraud?	*Annual programme of internal audit to test, verify & give assurance which is reported to A&G. Robust financial management and reporting systems. Experienced and qualified finance staff. Risk monitored by Leadership Team and A&G Committee. Comprehensive suite of governance policies, including anti-fraud & Corruption and Whistleblowing. AGS & Local Code of Corporate Governance supported by evidence & approved by A&G Committee. Work undertaken by Internal and External Audit
Have any specific fraud risks, or areas with a high risk of fraud, been identified and what has been done to mitigate these risks?	None
Are internal controls, including segregation of duties, in place and operating effectively?	Yes
If not, where are the risk areas and what mitigating actions have been taken?	N/A
Are there any areas where there is a potential for override of controls or inappropriate influence over the financial reporting process (for example because of undue pressure to achieve financial targets)?	No
Are there any areas where there is a potential for misreporting?	No

How does the Audit & Governance Committee exercise oversight over management's processes for identifying and responding to risks of fraud?	See above *
What arrangements are in place to report fraud issues and risks to Members?	Strategic Risk Register, Anti-Fraud & Corruption Policy and Whistleblowing Policy. S151 Officer and Monitoring Officer. Annual Governance Statement (and annual review of). Systems & Processes of Internal Control. Internal Audit Reports. Performance reports.
How does the Authority communicate and encourage ethical behaviour of its staff and contractors?	Strategic Risk Register. Financial Regulations. Standing Orders and Scheme of Delegation. Employee Code of Conduct. Anti-Fraud & Corruption Policy and Whistleblowing Policy. Procurement Policy & procedures. Contractors Vetting Policy. Staff & Member Induction and training. Team Meetings, All Staff meetings. Appraisals. Organisational Development Strategy.
How does the Audit & Governance Committee encourage staff to report their concerns about fraud? Have any significant issues been reported?	See section / answer directly above. None
Are you aware of any related party relationships or transactions that could give rise to risks of fraud?	None
Are you aware of any instances of actual, suspected or alleged, fraud, either within the Authority as a whole or within specific departments since 1 April 2018?	None

Law and regulation

Auditor Question	Response
What arrangements does the Authority have in place to prevent and detect non-compliance with laws and regulations?	Professional Officers, professionally qualified. Training (including CPD). Supervision & appraisal. Oversight by statutory officers: Monitoring Officer & S151 Officer. Legal Services provided by County Council.

2

How does management gain assurance that all relevant laws and regulations have been complied with?	Professional Officers (as above) and assurance gained from the work of Internal / External Audit reports.
How is the Audit & Governance Committee provided with assurance that all relevant laws and regulations have been complied with?	Via Reports from and contact with Professional Officers & Internal / External audit reports.
Have there been any instances of non-compliance or suspected non-compliance with law and regulation since 1 April 2018?	None
What arrangements does the Authority have in place to identify, evaluate and account for litigation or claims?	LT consists of statutory officers who work closely with Legal Service provided by DCC. We are a small Authority and therefore we are able to communicate easily, and can work together to assess any risk and account for any claims accordingly. Robust complaints procedure, managed by Head of Organisational Development & reports to Leadership Team. Insurance managed by Head of Business Support.
Is there any actual or potential litigation or claims that would affect the financial statements?	None
Have there been any reports from other regulatory bodies, such as HM Revenues and Customs, which indicate non-compliance?	None

DARTMOOR NATIONAL PARK AUTHORITY

10 May 2019

**THE LOCAL CODE OF CORPORATE GOVERNANCE
AND 2018/19 ANNUAL GOVERNANCE STATEMENT**

Report of the Head of Business Support

Recommendations: **That Members:**
 (i) **Consider and approve the assessment of the Authority's governance arrangements as set out in the Local Code of Corporate Governance at Appendix 1; and**
 (ii) **Approve the 2018/19 Annual Governance Statement at Appendix 2**

1 Background

1.1 "Governance" is about how public sector bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

1.2 The Authority has based its corporate governance arrangements on the Framework "Delivering Good Governance in Local Government" produced by CIPFA (The Chartered Institute of Public Finance and Accountancy) and SOLACE (the Society of Local Authority Chief Executives) in 2007, first adopted by the Authority in 2008.

1.3 A fundamental review of the Framework was undertaken by CIPFA and SOLACE in April 2016 which changed the core principles and sub principles that underpin the Local Code of Corporate Governance. The aim of the Framework is to ensure:

- *that resources are directed in accordance with agreed policy and according to priorities;*
- *that there is sound and inclusive decision making; and*
- *that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.*

1.4 A thorough review was therefore undertaken in 2016/17 to ensure that our own Local Code of Corporate Governance (Local Code) and the Annual Governance Statement (AGS) met the revised requirements. There are no changes this year.

2 Annual Review

2.1 The Local Code demonstrates how the Authority operates against the governance principles in the CIPFA framework. Producing an annual AGS is a requirement of the Framework and of *regulation 4(2) of the Accounts and Audit (England) Regulation* in relation to the publication of a statement on internal control.

2.2 The Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control; and is also required to report publicly, on an annual basis:

- its compliance with its Local Code;
- the effectiveness of its governance arrangements; and
- any planned changes.

The review of the effectiveness of the system of internal control is informed by the work of Leadership Team and other officers who have responsibility for the development and maintenance of the governance environment.

2.3 The main framework (systems and processes) that make up the Authority's governance arrangements include:

- Standing Orders, Scheme of Delegation, Financial Regulations, Procurement Procedures, Anti-Fraud and Corruption Strategy, Confidential Reporting Policy (Whistleblowing) etc;
- the Business Planning process;
- Production of the annual Budget and Medium Term Financial Plan to reflect the priorities and actions in the Business Plan;
- The regular monitoring and reporting in public of performance against objectives, targets, and performance indicators;
- The monitoring and reporting of progress in relation to the National Park Management Plan;
- Performance appraisals of staff, including the setting of actions designed to deliver the objectives in the Business Plan;
- The maintenance and monitoring of the Strategic Risk Register;
- The maintenance of the Local Code of Corporate Governance;
- The continual refreshment, through review, of the Authority's suite of policy and strategy documents;
- Training delivered through the year to Members and to officers;
- External and Internal Audit.

2.4 The Authority's Local Code of Corporate Governance can be found at Appendix 1 which has been reviewed and updated to reflect the way the Authority operates. The draft Annual Governance Statement for 2018/19 can be found at Appendix 2. Members are invited to comment and / or propose amendments.

2.5 A summary of progress made against actions identified in the 2017/18 AGS are set out below:

Action	Progress
Review the complaints procedure	Still considered to be fit for purpose so not undertaken
Review the Member Code of Conduct	Not undertaken, as deemed still fit for purpose; but updated the Member role description (approved by Authority February 2019)
Review and update the Member induction training programme	Achieved
Review and update the Data Protection Policy to bring it into line with GDPR and the Data Protection Act 2018	Achieved
Input to the review of protected landscapes announced as part of the Government's 25 Year Plan for the Environment	Achieved and on-going

2.6 Other significant work or improvements undertaken during the year in relation to governance arrangements include:

- Procurement: entered into a Service Level Agreement with Devon County Council resulting in revised and updated procurement procedures, improved templates and processes;
- Local Development Scheme: this document is required by Government policy to set the 'timetable' for reviewing the Local Plan and other documents. It was updated in November 2018;
- Statement of Community Involvement: a 'Local Development Document' required for setting out how a Local Planning Authority involves communities and other stakeholders in the plan-making and decision-making process. This was updated in November 2018 to incorporate new government guidance on Neighbourhood Planning;
- Local Plan Review: the first draft (Regulation 18) consultation was approved by Members in November 2018 having been shaped over the preceding 18 months by a Member Steering Group. This was published for 9 weeks public consultation; a final draft will be brought to Members in 2019 for approval for a further period of public consultation;
- National Park Management Plan: the adopted Management Plan is overseen by a cross-organisation Delivery Board managed and chaired by DNPA. An internal Steering Group is overseeing the review of the Management Plan and a draft for public consultation will be prepared during 2019;
- Member attendance reporting: Members agreed that their attendance records should be published on the website;
- Development Management: undertook a review of the site visit protocol and scheme of delegation; and
- Submitted evidence to the Government's independent review of Protected Landscapes in England.

2.7 Whilst we continue to have strong Governance arrangements in place, to ensure continuous improvement, it is proposed that the following work is undertaken during 2019/20:

- Consider, respond to and implement relevant recommendations from the Government's independent Review of Protected Landscapes (due to report Autumn 2019);
- Implement the revised Member induction training programme;
- Review Standing Orders;
- Provide procurement training to reflect revised systems and procedures;
- Continue with the Local Plan review process;
- Continue with the National Park Management Plan review process; and
- Review the Authority's involvement in the Heart of the South West Joint Committee and National Parks Partnerships Limited.

3   Sources of Assurance

3.1 Authority Members need to look for assurance that proper governance arrangements are in place, and this report is part of that process. The Local Code refers to the various sources of assurance which are made available on our Website and directly to Members via the intranet or committee reports.

3.2 Members may also wish to refer to the external auditor's audit findings report (as considered at the meeting of the Authority 27 July 2018) which led to an unqualified opinion on the truth and fairness of the Authority's financial statements and a positive audit opinion as a conclusion to their value-for-money review. The Value

for money review is based on an assessment of whether the Authority has proper arrangements for securing financial resilience, and proper arrangements for challenging how economy, efficiency and effectiveness are secured. External audit will present their 2018/19 report to the Authority on 26 July after concluding the audit of the Statement of Accounts, the AGS (attached) etc.

3.3 Members may also refer to reports presented to this committee by Internal Audit during the year. The Head of Internal Audit has concluded that the Authority continues to operate at a 'high standard' - "*The system and controls in place adequately mitigate exposure to the risks identified. The system is being adhered to and substantial reliance can be placed upon the procedures in place. We have made only minor recommendations aimed at further enhancing already sound procedures.*"

3.4 The three statutory officers of the Authority (the Chief Executive, Chief Finance Officer and Monitoring Officer) have independent legal obligations which include reporting on any matters where the probity or legality of the Authority's actions or proposed actions is at stake. To date no such reports have been necessary. The Chair of Audit and Governance Committee has also been consulted during the annual review process.

4 Conclusion

4.1 The Authority has carried out a robust review of its Governance arrangements, and is satisfied that:

- The system of internal control is sound;
- The Authority has put in place proper and sound arrangements to detect and deter fraud and corruption;
- That adequate and effective arrangements are in place to ensure the legality of business transactions; and
- That the Authority's Local Code of Corporate Governance and governance arrangements in place are compliant with the CIPFA framework "Delivering Good Governance in Local Government".

DONNA HEALY

Attachments: **Appendix 1 - Local Code of Corporate Governance**
                        Appendix 2 - 2018/19 Annual Governance Statement

20190524 DH Local Code of Corporate Governance and AGS

DARTMOOR NATIONAL PARK AUTHORITY

LOCAL CODE OF CORPORATE GOVERNANCE

Adopted: December 2009
Reviewed: April 2014, March 2017, May 2018, May 2019

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:
Behaving with integrity 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. Ensuring Members and Officers take a lead in establishing specific standard principles or values for the organisation (based on seven Nolan Principles) Leading by example and using the principles as framework for all actions and decisions Demonstrating, communicating and embedding the standard operating principles through appropriate policies and processes, which are regularly reviewed to ensure effectiveness	Member & Officer Codes of Conduct Officer and Member Induction programme Officer and Member processes appraisal Organisational Development Strategy Communications Strategy Statement of Community Involvement Mission Statement and Core Values in Business Plan & National Park Management Plan 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
Demonstrating strong commitment to ethical values Seeking to establish, monitor and maintain the Authority's ethical standards and performance Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the Authority's culture and operation Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values Ensuring that external providers of services on behalf of the Authority act with the integrity and ethical standards expected by the Authority	Organisational Development Strategy Member Role Description 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

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

Principle B: Ensuring openness and comprehensive stakeholder engagement

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

	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
Engaging comprehensively with institutional stakeholders Ensuring that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.	Communications Strategy
Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	Corporate Contacts database to enable engagement with stakeholders for correct purposes
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	Partnership arrangements backed up with robust formal legal agreements, setting out roles, responsibilities and behaviours
Effective engagement with individual citizens and service users Establishing a clear policy on consultation with stakeholders to ensure service provision contributes to intended outcomes Ensuring communication methods are effective in relation to community engagement Encouraging, collecting and evaluating the views of stakeholders including reference to future needs Implementing effective feedback mechanisms and ensuring inclusivity of all feedback Balancing feedback from more active stakeholder groups with other groups to ensure inclusivity. Taking account of impact of decisions on future generations of taxpayers/service users	Communications Strategy Statement of Community Involvement Public consultations undertaken as required, well publicised and results and feedback reported to the Authority 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

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

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

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

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

Optimising achievement of intended outcomes	
Ensuring the budget process is all-inclusive of full cost of operations over medium and longer term	Annual budget and Medium Term Financial Plan process that is aligned with Business Plan, National Park Management Plan and Eight Point Plan
Ensuring medium term financial strategy is responsive to external circumstances to optimise resource usage/integrates and balances resource constraints	Regular budget monitoring reports to Leadership Team and Audit & Governance Committee allows realignment if required.

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it;

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

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

Principle F: Managing risks and performance through robust internal control and strong public financial management

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

Robust internal control 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	Risk management policy and strategic risk register in place and reviewed and monitored on quarterly basis 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
Managing data 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	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
Strong public financial management 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	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

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

The local code requires us to:	Evidenced by:
Good Practice in Transparency Writing and publishing reports in a balanced, understandable and easily accessed style Striking a balance with regard to the amount of information provided	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)

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

ANNUAL GOVERNANCE STATEMENT
2018/19

SCOPE OF RESPONSIBILITY

Dartmoor National Park Authority (the Authority) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, that public money is safeguarded and properly accounted for, and is used economically, efficiently and effectively. DNPA also has a duty under the Local Government Act 1999 to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the Authority is also responsible for ensuring that there is a sound system of internal control which facilitates the effective exercise of its functions and which includes arrangements for the management of risk.

The Authority has developed a Local Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government'. A copy of the code is available on our website. The Annual Governance Statement explains how the Authority has complied with the Local Code of Corporate Governance and also meets the requirements of regulation 4(2) of the Accounts and Audit (England) Regulations 2011 in relation to the publication of a statement on internal control.

THE PURPOSE OF THE GOVERNANCE FRAMEWORK

The governance framework comprises the systems and processes, and cultures and values, by which the Authority is directed and controlled and the activities through which it accounts to, engages with and leads the community, including residents, visitors and stakeholders. It enables the Authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Authority's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place for the year ended 31 March 2019 and up to the date of approval of the Business Plan and Statement of Accounts. The framework has been further supported by the Local Code of Corporate Governance.

THE GOVERNANCE FRAMEWORK & LOCAL CODE OF CORPORATE GOVERNANCE

The Authority operates within a Corporate Governance Framework which ensures accountability to its users, stakeholders and the wider community to which it relates. It comprises the systems and processes, cultures and values by which decisions are made and functions undertaken to deliver the purposes and duties of the organisation.

The key elements of the systems and processes that comprise the Authority's governance arrangements are based on the 7 core principles contained in the Local Code of Corporate Governance and include the following aspects:

- The vision, objectives and priorities for the local area (Dartmoor National Park) for the period 2014 -2019 as set out in "Your Dartmoor", the National Park Management Plan (NPMP). "Your Dartmoor" was developed via a process of extensive community involvement and the associated action plans are revised annually in a process involving a wide range of partners/stakeholders. During 2018/19 the Authority commenced work on a more fundamental review of the National Park Management Plan organising, with partners, a series of Dartmoor Debates to discuss the future vision for the National Park.

- The Business Plan for the Authority is a strategic document which provides a link between the National Park Management Plan and work programmes (for teams and individuals). The Business Plan, including priorities and targets, is reviewed annually and a separate annual review is produced in June to report on performance and highlight key projects undertaken in-year.

- The Authority's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer (CFO) in Local Government (2010).

- The principles of decision making are set out in the Authority's Standing Orders, supported by:

  1. Financial Regulations, a Disposals Policy, a Sustainable Procurement Policy and Procurement Procedures;
  2. The Authority's adopted codes of practice in relation to Treasury Management for Investments and for Capital Finance and Accounting (the Prudential Code)
  3. Scheme of Delegation
  4. Code of Conduct for Members and Officers
  5. Job / role descriptions for Members and Officers
  6. Policies and Procedures

- Public involvement and transparency in decision making is facilitated through formal consultations, workshops, involvement in service reviews, consultative forums with members of the community representing access, land use, conservation, businesses and community interests and public participation at the Authority and its Committees.

- Ensuring that established policies, procedures, laws and regulations are complied with is the responsibility of nominated statutory Officers, the Monitoring Officer and the Chief

Financial Officer, as laid down in the Authority's Standing Orders & Financial Regulations.

- A Risk Management Strategy that defines and identifies the process for ongoing risk management and the responsibilities of the various stakeholders in the risk management process.

- A Strategic Risk Register is compiled, regularly reviewed and monitored by the Audit and Governance Committee and Leadership Team. Leadership Team monitors and manages operational risks via service plans, work programs and Service Dashboards. The Authority's internal project management guidance requires identification and management of risks.

- A programme of service reviews or value for money/business reviews that look closely at and challenge service provision and delivery and discharges the Government's Value for Money requirements for the Authority.

- Comprehensive budgeting systems set targets to measure financial performance which are reviewed by the Leadership Team and reported to the Audit and Governance Committee on a quarterly basis for detailed review and scrutiny.

- Performance management is applied consistently throughout the Authority against a Performance Management Framework. Reports of progress against performance targets are reported quarterly to the Leadership Team and the Audit & Governance Committee.

- The Standards sub-Committee monitors the ethical framework for the Authority and will alert the Authority to any potential issues arising from its decision making processes.

All of the above elements are subject to independent challenge and scrutiny through Internal and External Auditors and other review bodies such as Defra.

REVIEW OF EFFECTIVENESS

The Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of the effectiveness of the system is informed by the work of the Leadership Team and other Officers within the authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's (Devon Audit Partnership) annual report and also by responding to comments and recommendations made by external auditors and other review agencies and inspectorates.

The Authority's Chief Financial Officer and Monitoring Officer have also provided assurance that there have been no significant control issues that have required the need for: formal action in their respective roles; significant additional funding; had a material impact on the accounts; or resulted in significant public interest, damaging the reputation of the Authority.

Although a review of the effectiveness of the Governance arrangements is reported once per year to the Authority, the process of gathering evidence and monitoring performance is continual and is managed through reports to Audit & Governance Committee. The Actions identified to be addressed during the year were:

Action	Progress
Review the complaints procedure	Still considered to be fit for purpose so not undertaken
Review the Member Code of Conduct	Not undertaken, as deemed still fit for purpose; but updated the Member Role Description (approved by Authority in February 2019)
Review and update the Member induction training programme	Achieved
Review and update the Data Protection Policy to bring it into line with GDPR and the Data Protection Act 2018	Achieved
Input to the review of protected landscapes announced as part of the Government's 25 Year Plan for the Environment	Achieved and on-going

Other significant improvements in relation to governance arrangements undertaken during 2018/19 as follows:

- Procurement: entered into a Service Level Agreement with Devon County Council resulting in revised and updated procurement procedures, improved templates and processes;
- Local Development Scheme: this document is required by Government policy to set the 'timetable' for reviewing the Local Plan and other documents. It was updated in November 2018;
- Statement of Community Involvement: a 'Local Development Document' required for setting out how a Local Planning Authority involves communities and other stakeholders in the plan-making and decision-making process. This was updated in November 2018 to incorporate new government guidance on Neighbourhood Planning;
- Local Plan Review: the first draft (Regulation 18) consultation was approved by Members in November 2018 having been shaped over the preceding 18 months by a Member Steering Group. This was published for 9 weeks public consultation; a final draft will be brought to Members in 2019 for approval for a further period of public consultation;
- National Park Management Plan: the adopted Management Plan is overseen by a cross-organisation Delivery Board managed and chaired by DNPA. An internal Steering Group is overseeing the review of the Management Plan and a draft for public consultation will be prepared during 2019;
- Member attendance reporting: Members agreed that their attendance records should be published on the website;
- Development Management: undertook a review of the site visit protocol and scheme of delegation;

- Submitted evidence to the Government's independent review of Protected Landscapes in England.

GOVERNANCE ISSUES

Although the Authority has been assessed as having strong Governance arrangements in place, to ensure continuous improvement, it is proposed that the following work is undertaken during 2019/20:

- Consider, respond to and implement relevant recommendations from the Government's independent Review of Protected Landscapes (due to report Autumn 2019);
- Implement the revised Member induction training programme;
- Review Standing Orders;
- Provide procurement training to reflect revised systems and procedures;
- Continue with the Local Plan review process;
- Continue with the National Park Management Plan review process;
- Review the Authority's involvement in the Heart of the South West Joint Committee and National Parks Partnerships Limited.

CERTIFICATION

We have been advised on the implication of the results of the review of the effectiveness of the governance framework by the Audit and Governance Committee and a plan to address weaknesses and ensure continuous improvement of systems is in place.

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed: ………………………………

P W Hitchins
Chairman of the Authority

Date: ………………………………….

Signed: …………………………………….

K D Bishop
Chief Executive (National Park Officer)

Date: …………………………………......

DARTMOOR NATIONAL PARK AUTHORITY

10 May 2019

MORE MOOR OTTERS DARTMOOR PUBLIC ARTS INITIATIVE

<u>Report of Marketing and Fundraising Officer</u>

<u>Recommendation:</u> **That Members:**
(i) **Support the development of this initiative and allocate £120,000 from the reserve balances (the CFO will reallocate accordingly) to cover the costs; and**
(ii) **Nominate a Member Steering Group to support the project officer in the development of the project**

1   Background

1.1   Dartmoor National Park ran a successful Public Arts Initiative in 2017 (Moor Otters), raising £60,000 for three key projects; Junior Rangers, controlling non-native species and repairing footpaths. In addition the project engaged the local community, schools and businesses in exploring Dartmoor and understanding the need to treasure its fragile landscape.

1.2   A selection of artists were asked to decorate 100 otter models which were placed in businesses and public areas across the moor to create specific otter trails for the general public to enjoy during 2017.

1.3   In addition to the positive messaging, audience engagement and raising awareness of conservation projects, there were opportunities to increase retail sales and develop business connections.

1.4   The Authority needs to diversify its income streams to fund future conservation and access projects. Projects such as the Moor Otters Trail demonstrated how it is possible to do this while creating an enjoyable trail and generating footfall to local businesses. It is proposed that a "More Moor Otters" Arts Trail is developed for 2020. The idea of running a second arts trail was shared with Members at the Authority meeting held on 1 March 2019 and Members were supportive of the idea pending a report to Authority to allow for full discussion.

2   Project Aims

- Provide an art-based visitor attraction;
- Engage with new audiences, particularly hard to reach groups;
- To generate a minimum of £60k for conservation and access projects through donations, sponsorship and auction bids;
- Increase footfall to Dartmoor businesses – measured by a 10% rise in footfall from 2019 in our three visitor centres;
- Promote our key messages and generate a greater understanding of the special qualities of Dartmoor;
- Generate £5k profit from Moor Otter retail products;

- Engage with local schools through participation – measured by number of schools participating and feedback.

3   The Concept - More Moor Otters

3.1   The proposal is for More Moor Otters to follow a similar format to the previous project.

3.2   High quality art will be used to develop a public arts trail to increase footfall at key businesses/public areas. Sponsorship of the art is invited and at the end of the period the art is auctioned.

3.3   Building on the success and engagement from Moor Otters it is suggested that Otters remain the animal representing Dartmoor – Moor Otters is already established as a brand, people recognise it and remember the fun they had before, businesses can identify it with previous success and we have done the ground work on style, design and other logistics. The project steering group will decide on the final animal sculpture design.

3.4   The project is executed in a number of clear stages:

- 80 Otter sculptures are produced for decoration, display, sponsorship and finally auction. 60 'pup' sculptures are produced to engage with Dartmoor schools and the wider trails;
- Artists are invited to submit designs and a selection panel choose the top 80;
- Businesses are invited to host and/or sponsor an otter;
- Select businesses are invited to be 'patrons' offering high value financial support or value in kind;
- Decorated otters are distributed to their hosts for a period of end May – September 2020;
- Trails and maps are produced to encourage people to find the otters and explore Dartmoor. c.15 Otters per trial with a capacity of a further 20 otters for gateway towns and transport hubs;
- Retail products are produced to support the Moor Otter initiative;
- Otters are auctioned live and online in October 2020;
- Money raised is put to specific projects;
- Businesses are celebrated for their support.

3.5   More Moor Otters will adapt with lessons learnt from Moor Otters, the key changes from these lessons are:

- Maximise public engagement opportunities;
- Simplify whole process/offering;
- Clear business opportunities that are sold at a set price and ensure transparency;
- Seek to involve more business sponsorship;
- Co-ordination of logistics can save transport e.g. artists and hosts to collect and return otters where possible;
- Detailed project plan with clear roles and responsibilities for external project manager and internal co-ordinator;
- Simplify every aspect of project and plan thoroughly.

4 **Project Management**

4.1 It is suggested that for More Moor Otters, external support is used to develop and create the project with clear lines of responsibility/work programmes with the internal co-ordinator.

4.2 The proposed external project management outline is:

- Co-ordinate and deliver an arts trail including all aspects of logistics, engagement (artists, businesses, public), and fundraising;
- Secure artists and selection panel;
- Co-ordinate Otters throughout the project, from delivery to storage, distribution to artists, launch event, hosts, back to artists and then to auction;
- Secure business support e.g. valued partners and patrons as well as hosts and sponsors;
- Arrange and co-ordinate launch event and auction;
- Manage PR and publicity (will be executed in-house but external Project Manager is anticipated to lead);
- Liaise closely with DNPA project lead;
- Maximise every opportunity to achieve objectives of project.

4.3 The proposed internal project management outline is:

- Develop project plan;
- Create work packages with key project team;
- Write tenders and manage process for various external suppliers (including project manager);
- Manage external project manager;
- Manage budget and keep close measure on income;
- Ensure timeline is met from all project team;
- Draft communications plan for artists, public and businesses;
- Ensure project progress is measured and monitored.

5 **Anticipated Costs**

5.1 The Authority set aside £140,000 from reserves to support the original Moor Otters project. Actual expenditure was £99,946 and income generated was £162,466 resulting in £62,520 being generated for the identified good causes. Details of the costs incurred in the original Moor Otters project (excluding staff costs) are contained in Table 1.

		Moor Otters Actual	
Item		Cost	Income
Otter sculptures (80 large and 60 small) and 80 plinths (calculated on previous quote which suppliers have agree to hold dependent on mould cost)		£23,700	
Marketing, Design, Print and Web		£21,500	
Project Manager		£35,446	
Artists Expenses		£3,500	
Artists Commission		£12,300	
Auction costs		£2,000	

	Moor Otters Actual	
Item	**Cost**	**Income**
Miscellaneous	£1,500	
Transport	£0	
Storage (in kind agreed)	£0	
Photography		
Hosting of Otters		
Sponsorship of Otters (incl all forms)		£34,033
Patron of Project (max 2) (based on 2)		
Auction sales of Otters		£125,744
Donations		£2,689
TOTALS	**£99,946**	**£162,466**

Table 1: Moor Otters Expenditure and Income

5.2   Officers are proposing that the Authority sets-aside £120,000 from reserves to support More Moor Otters. This figure provides for some potential increase in costs (e.g. for external project management/support). It also includes some costs (e.g. transport, storage, professional photography, auction) which we secured as in-kind contributions in the previous project.

6   Project Dependencies

6.1   Moor Otters has shown an arts trail can be a huge opportunity, however there are also risks as with any project. The following identifies some of the key aspects that the success of More Moor Otters is dependent on:

- Quality artists and engaging sculptures;
- Engagement and buy-in from businesses;
- Value in kind support to the same or greater extent than before;
- Availability of DNPA staff resource;
- Strong project management both from external agency and internally;
- Public engagement.

7   Opportunities

7.1   Opportunities for More Moor Otters are:

- Engaging with communities far and wide - Moor Otters was a fantastic opportunity for Dartmoor NPA to connect with local and national visitors;
- Engaging with disadvantaged groups;
- Design and marketing can be kept in-house this time which creates an opportunity for us to develop a stronger brand identity and be more agile on maximising opportunities;
- Lessons learnt have shown areas where the project can be maximised further – retail, business relationships, school engagement.

8   Risks

8.1   Possible risks for More Moor Otters are outlined below:

Risk	Impact	Mitigation	Severity/Probability
Sponsorship not forthcoming	Financial	Ensure sponsorship points are accessible to a variety of businesses. Reduced number of Otters making them more exclusive.	Medium - external factors such as Brexit and Mayflower 2020 could impact on this.
Value in kind not received to the same extent as Moor Otters	Fewer funds raised from the project.	Engage with businesses early and inspire to be a part of More Moor Otters	Medium
Staff capacity to deliver	Moor Otters needed an all hands on deck approach, this could put stresses on pressure points and result in this project or other work suffering	Clear planning and project management	Low – Medium
Attracting the right artists	Project is not as engaging and does not attract businesses or buyers	Engage with Project Manager to utilise contacts and ensure top artists are on-board	Low
Local businesses not engaging	Limited trails/otters hosted	Clear hosting/sponsorship options with outlined benefits. Limit number of otters to manage risk	Low – the success of Moor Otters has given a clear expectation/case study for businesses to see the benefits
No engagement from community	Lack of publicity for sponsors/hosts	Clear marketing plan to build excitement and otter mania	Low – Moor Otters brought strong engagement and feedback has all pointed to a desire to repeat
Poor publicity	Negative press stories	Clear comms plan for all stages of the project	Low – previous success has shown media support and engagement

Risk	Impact	Mitigation	Severity/Probability
Competition	Fatigue from arts trails, other activities to lure engagement away from Moor Otters £20,000	Ensure trails are engaging and otters inspiring. Comprehensive marketing plan.	Low – even with competition from Mayflower 2020 and other activities for people to enjoy during the summer
Weather	A poor summer could deter people from getting out on the moor and Otter Spotting	-	Low

10 Staff Resources

10.1 This is a great opportunity to bring 'Team Dartmoor' together again and show what can be achieved as a team.

10.2 Anticipated total staff days in 2019/20 are being discussed with the team and individual work packages will give further clarity, however at this stage it is anticipated to require c. 213 days in 2019 and 286 in 2020.

11 Recommendation

11.1 That Members support a second arts trail and allocate £120,000 from reserve balances (the CFO will reallocate accordingly) to cover the costs.

11.2 That Members nominate four members to the Member Steering Group in accordance with the Terms of Reference set out in Appendix 2 to work with the project co-ordinator to monitor progress and costs on the project.

SOPHIE JAMES

Attachments: Appendix 1 – Outline Implementation
**   Appendix 2 – Terms of Reference**

20190510 SJ Dartmoor Public Arts Initiative – More Moor Otters

Outline Implementation

May 2019-July 2019	July-Aug 2019	Sept-Oct 2019	Nov-Dec
Authority decision Steering Group meeting DNPA resources confirmed (staff available) Project team created Full plan to be created dependent on Authority decision Individual work packages developed Tenders for sculptures and project management Design plan created Marketing plan drafted Comms plan drafted Work packages created (by individual resource)	Project manager and sculpture supplier selected Brand including logo design agreed Artists pack created and circulated to artists Schools project considered and agreed Retail offering considered and agreed Web page/social media created Sponsorship pack created and printed Sponsors approached (previous supporters first) Selection panel for otter selection identified	Steering Group meeting *Naming rights sponsor found Otter Partners identified, approached and secured (previous supporters first) Otter Sponsors identified, approached and secured Otter Hosts identified and approached (previous supporters first)	Artists submissions considered and rated by selection panel Successful artists announced Otters delivered to storage Official launch of More Moor Otters (sponsors, media and others) Artists collect otters at launch Naming sponsor announced Key artists publicised Otter Sponsors identified, approached and secured Otter Hosts identified and approached (previous supporters first) Steering Group meeting
January 2020	**February/March 2020**	**May 2020**	**June/July 2020**
Otter Hosts finalised Otter Sponsors finalised Competition developed and prize secured Retail priced and sourced	Otters return from artists and go into storage Otters photographed in storage, for catalogue and trail booklet Trail maps designed with separate entry form and printed Final payment date for all Otter Hosts and Otter Sponsors Steering Group meeting	Otters are revealed at 'adoption' event (for hosts, sponsors and media) Hosts take otters and trail booklets away from launch event Trail booklets distributed to Tourist Info Centres, Visitor Centres etc All otters in place and ready to go live Retail delivered Public launch of event – end May	Event goes live from 1st June to September 2020 Strong social media campaigns, good news stories, press releases Invite celebs/well known personalities to bring their children otter spotting and support Dartmoor Design and print auction catalogue Retail auction catalogue as a souvenir
August/September/October 2020			
Return otters to artists for repairs if needed. Online auction Invite key partners to live auction - invite artists, sponsors, hosts and all involved to celebrate the arts trail and say goodbye to the otters Live auction of golden otters All payments processed and received Otters delivered to their new homes Project closes Wash up completed			

Dartmoor National Park Authority

Terms of Reference for The Public Arts Project steering group

The Project

Dartmoor National Park Authority intends to develop a public art trail on Dartmoor, using high quality art (decorated sculpture) and potentially generate income for the Authority. The main aims of the Project are:

- Engage with new audiences
- Provide an art-based visitor attraction
- Support the local economy by encouraging increased footfall at local businesses
- Promoting key messages about the national park and our work
- Bring in sponsorship income and other revenue

The Project will involve artists with a proven pedigree/ reputation to create the art works and to secure sponsorship of the art works so as to cover all Project costs. It is intended to hold an auction of the art works at the end of the Project to generate further income.

An experienced project management company will be contracted to manage the day to day delivery of the project.

Role of steering group

- To act as an advisory group supporting the DNPA project co-ordinator, acting as a sounding board and providing advice on the project as required
- To be ambassadors for the public arts project, supporting its key messages
- To work with the project manager to develop contacts for sponsorship, artists and businesses to host the otter sculptures
- To provide a mechanism to review and evaluate the project

Steering Group Membership

4 Members

The Role of the DNPA Project Co-ordinator

This will include:

- Managing the delivery of the project to an agreed timeline
- Developing the project plan with the contracted project management company and monitoring progress against the plan
- Managing the budget allocated to the project

- Ensuring all goods and services procured as part of the project are done so in accordance with DNPA financial regulations
- Developing and managing the key messages associated with the project, ensuring that it is understood by all
- Developing and delivering a communications plan for the project
- Ensuring that communities are fully engaged with as the project develops and that local schools have the opportunity to be involved
- Ensure the risk, both financial and reputational, is managed
- Reporting to the steering group through meetings or email updates, as appropriate

DARTMOOR NATIONAL PARK PLANNING AUTHORITY

10 May 2019

TREE PRESERVATION ORDERS, SECTION 211 NOTIFICATIONS
(WORKS TO TREES IN CONSERVATION AREAS)
AND HEDGEROW REMOVAL NOTICES
DETERMINED UNDER DELEGATED POWERS

Report of the Trees and Landscape Officer

Recommendation: **That the decisions be noted.**

TPO APPLICATIONS

Teignbridge

Ref: 18/0070   **Hawkmoor, Bovey Tracey**   **SX 8010 8070**

Application to fell an ash tree. Consent was granted subject to conditions:

1.   Five working days' notice to be given to the Authority prior to the commencement of approved works.
2.   Replacement planting of one half standard oak tree within the crown spread of the original in the first planting season following felling.

West Devon

Ref: 18/0069   **Torwood House, Yelverton**   **SX 5196 6821**

Application to reduce several trees growing along the neighbour's boundary. Consent was granted subject to conditions:

1.   Five working days' notice to be given to the Authority prior to the commencement of approved works.
2.   All works are carried out in accordance with British Standard 3998:2010 Tree Work - Recommendations.

Ref: 18/0071   **Meldon Village Hall**   **SX 5601 9237**

Application to reduce the height of a beech tree. Consent was granted subject to conditions:

1.   Five working days' notice to be given to the Authority prior to the commencement of approved works.
2.   All works are carried out in accordance with British Standard 3998:2010 Tree Work - Recommendations.

Ref: 18/0076   **10 Grange Road, Yelverton**   **SX 5183 6815**

Application to reduce the height of a three oak trees. Consent was granted subject to conditions:

1. Five working days' notice to be given to the Authority prior to the commencement of approved works.
2. All works are carried out in accordance with British Standard 3998:2010 Tree Work - Recommendations.

South Hams

Ref: 18/0073   **30 Higher Green, South Brent**   **SX 7025 5876**

Application to reduce the canopies of two oak trees. Consent was granted subject to conditions:

1. Five working days' notice to be given to the Authority prior to the commencement of approved works.
2. All works are carried out in accordance with British Standard 3998:2010 Tree Work - Recommendations.

SECTION 211 NOTICES

Teignbridge

Ref: 18/0075   **Village Green, North Bovey**   **SX 7400 8390**

Notification to fell an oak tree. The tree is in very poor condition and has a short life expectancy.

A Tree Preservation Order has not been made.

West Devon

Ref: 18/0068   **Trevone, South Brent**   **SX 6971 6021**

Notification to reduce an oak tree and Davidia. The works are minor and will have minimal impact on the health or appearance of the trees.

A Tree Preservation Order has not been made.

Ref: 18/0072   **Box Cottage, Mary Tavy**   **SX 5074 7901**

Notification to fell a poplar tree. The tree has very poor form and the felling will have minimal impact on the character of the Conservation Area.

A Tree Preservation Order has not been made.

Ref: 18/0074   **St Olaves, Murchington**   **SX 6863 8820**

Notification to remove a branch from a scots pine. The works are minor and will have minimal impact on the health or appearance of the tree.

A Tree Preservation Order has not been made.

BRIAN BEASLEY