

No	Year	Audit	Recommendations	Risk	National Park Authority Response	Responsibility/ Timescale	Current Status September 2019
1	2017/18	Camping Management Byelaws - signage	It is recommended that the issues related to signage are reviewed and dealt with as soon as possible.	Low	The large road threshold signs are scheduled to be revised to make the messaging clearer with the inclusion of the dates that the Camping Management Byelaws operate within and additional text to clarify that camping within the Camping Management Zones is permissible by permit only. A review of our existing permit areas is underway. Recommendations for improvements will be assessed and a programme of improvements undertaken. Signage placement and orientation will form part of this review. Some bespoke signage will be installed at key visitor hubs with more detailed messaging on the byelaws. It should be noted that as important as the signage is to Camping Management Byelaws 2017 that improvement that we are making to our webpages and the continued public engagement through our Ranger Service are key to helping visitors understand the byelaws.	Visitor Operations Manager July 2018 March 2019 End June 2019	Complete. All planned signage installed. Additional signage will now be assessed on a case by case basis.

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2	2017/18	Camping Management Byelaws - Access to the Procurator Fiscal Website	It is recommended that at least one other member of staff is trained on the Procurator Fiscal system	Low	Agreed	Visitor Operations Manager July 2018 September 2018 On first live case July 2019	Complete The Visitor Operations Manager has been trained on to report cases and will continue to take cases at an appropriate frequency to keep up to date with the systems. Additionally one of the Ranger Service Managers is also in the process of shadowing the processing of a live case to provide additional resilience.
3	2018/19	Access	<u>Procedures over Access complaint resolution</u> Staff in the Access and Recreation team should be reminded of the procedures for dealing with complaints and enquiries including: - documentation to be included in the case file; - the requirement to advise the complainant of the outcome of the review; and - the requirement to update the complaints spreadsheet when a complaint is resolved	Low	The team will be reminded of the importance of filing related documentation and correspondence and to follow the procedures that are in place.	Access, Recreation and Health Manager April 2019 Nov 2019	On Track Will be able to start uploading S11 exemptions to trial the system and work has been done on current complaint recording sheet to enable all closed cases since 2016 to be transferred onto Uniform This should allow for training and identify any amendments that may be required before the system is used permanently. Babs will be transferring data Sept/Oct

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4	2018/19	Access	<p><u>Access Information on Internet</u> The Access and Recreation team should continue to progress restoring inclusion of the key access information on the Internet site.</p>	Low	<p>The Access, Recreation & Health Manager is working with the Communications team to provide a page giving all relevant advice on Access, how to contact the team and download exemption applications. There are also plans in place to implement a 'Report It' option where software will allow complaints to be reported and mapped.</p>	<p>Access, Recreation and Health Manager February 2019 August 2019</p>	<p>Behind schedule GIS have been looking at various mechanisms to enable live reporting online. Once the various sections (VOPS/Access/Estates/Rangers/GIS) find the most appropriate tool this will be progressed.</p>
5	2018/19	Access	<p><u>Remit of Local Access Forum</u> The National Park should consider enhancing documentation around the roles and remit of the Local Assess Forum to include, for example: <input type="checkbox"/> Job specifications for Forum members; and <input type="checkbox"/> A Remit / Terms of Reference document to assist with the running of the Forum (this remit could cover areas such as Equal Opportunities, Structure, Membership (including how potential members are nominated and the length of time for which members are elected) and Administration and Finance).</p>	Low	<p>The current Operating Principles and 'job spec' will be reviewed to provide a Terms of Reference document. Although it currently advises of what is expected from forum members we agree it could be expanded more to include/address the suggestions raised. This finding will be discussed at the next Local Access Forum (February 2019)</p>	<p>Access, Recreation and Health Manager April 2019 October 2019</p>	<p>Behind Schedule Due to bottleneck with legal team, this has been delayed further. We have been advised this will be ready for Nov which will allow us to progress with recruitment for 2020.</p>

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6	2018/19	Access	<p><u>KPIs should be developed for the Access and Recreation Team</u> Consideration should be given to KPIs which could be developed and reported on by the Access and Recreation team. Whilst success cannot only be measure by the speed of resolution KPIs could be developed over, for example, the number of Access complaints and queries received or the percentage of complaints resolved within a given timescale (e.g. a KPI could be for 80% of complaints to be resolved within 8 weeks).</p>	Low	It is accepted that the appropriateness of KPIs could be helpfully considered, however the recommendation correctly raises the difficulties around measurements of success which require further consideration.	Access, Recreation and Health Manager April 2019 October 2019	Behind Schedule Still to be considered and applied. A further 12 cases have been resolved since the previous update. As per previous reports, the nature of managing access issues and complaints remains difficult to quantify.

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7	2019/20	Boat Registration Process	<p><u>Boat Registration Database</u></p> <p>a) Management should consider whether an automated system could be implemented which would allow, for example:</p> <ul style="list-style-type: none"> - boat owners to register their details online which would directly populate the boat registration database; - the re-registration process to be carried out on line, for example by owners confirming they continue to agree to the terms and conditions for use; and - all information to be stored electronically to eliminate the need for paper copies of registration and re registration forms to be printed and retained. <p>The full system requirements should be reviewed to ensure that any new system(s) can:</p> <ul style="list-style-type: none"> - Record contraventions, multiple launch pass purchases and all other required information; and - Provide required PI information. <p>In addition LLNTPA should consider whether the new system(s) should</p>	Low	<p>a) This recommendation is accepted.</p> <p>An internal Task and Finish Group will be set up to:</p> <ul style="list-style-type: none"> - establish scoping options and outline costs for a new online system of registration and investigate how other authorities handle similar processes e.g. Lake District and Broads NPA; - explore pros and cons of any new system in relation to potential integration of launching and enforcement data. DMS - consider timescales for development and roll out of any new online system 	<p>Matt Buckland /Leigh Hamilton</p> <p>March 2020</p>	<p>On track</p> <p>Aug 19 - Currently looking at other examples of online registration e.g Broads and Lakes NP systems. Similar to what we do internally with regards to new registrations (manual signature required and presentation of ID in person). Online payment system (Broads NP) appears to allow re-registration annually by setting up an online account. This could also allow boat owners to see any violations recorded against their reg number?</p> <p>Gavin to explore costs further. Initial quote from current DB technician is around £2k to upgrade. Possibly moving to a Seco Server, needs further investigation. Discuss options with IT before October 2019.</p> <p>System upgrade, once agreed, should be on track for completion by March 2020.</p>

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8	2019/20	Boat Registration Process	<p>Identification required to register boats Management should consider whether two forms of identification are always required, what forms of identification are acceptable and whether copies of the identification should be retained.</p> <p>All staff dealing with boat registration should be advised of the identification required to register a boat and the information in the registration form should be updated to reflect Management's decision on whether a copy of the identification provided should be kept.</p> <p>Where appropriate identification has not been provided but LLTNPA deems that access to Loch Lomond should be given a process should be implemented to ensure that this is followed up and the required identification is provided within a specified time period.</p>	Medium	<p>The recommendations are accepted.</p> <ul style="list-style-type: none"> - Legal to clarify identification requirements with the Procurator Fiscal. - Refine guidance for staff on ID requirements and roll out. 	<p>Sandra Dalziel Sandra Dalziel/ Leigh Hamilton</p> <p>October 2019</p>	<p>On track</p> <p>Aug 19 - Changes currently being made to staff guidelines and a meeting was arranged to openly discuss the changes. Photographic ID must be presented and proof of address is also required.</p> <p>Information on procedures and website advice passed to Legal for further guidance e.g do we retain copies of ID on file? Currently not procedure.</p> <p>Improvements to the staff guidelines and procedure already implemented. On track to agree and finalise process by October 2019.</p>
9	2019/20	Boat Registration Process	<p>Annual re-registration process In circumstances where the normal rules for registration or re-registration are not followed but where Management believes access to the Loch should not be denied procedures should be put in place to follow up with the owner and receive the required documents within a specified time period (in this instance the owner should be contacted and required to complete a re-registration form).</p>	Medium	<p>This recommendation is accepted.</p> <ul style="list-style-type: none"> - Legal Team to review the re-registration process and provide advice for next steps. 	<p>Sandra Dalziel</p> <p>October 2019</p>	<p>On track</p> <p>The legal team have requested a description of the current re-registration process they are to review including copies of the latest versions of the forms used and once they receive this they will review the re-registration process and provide advice for next steps</p>

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10	2019/20	Boat Registration Process	<p><u>Incomplete registration forms</u></p> <p>a) A legal review of the declaration should be undertaken to ensure it meets LLTNPA requirements and front desk staff should be reminded of the requirement to ensure that all registration forms are correctly signed.</p> <p>b) Guidelines should be updated to clarify which fields are essential. Management should consider whether any fields are not required and remove these from the registration form.</p>	Low	<p>a) This recommendation is accepted:</p> <ul style="list-style-type: none"> - Front desk staff to be refreshed on requirements to ensure consistent approach taken. - Boat Registration Officer trains front of house staff on field requirements and carries out checks. <p>b) This recommendation is accepted.</p> <ul style="list-style-type: none"> - Boat Team lead and Legal staff review registration form fields to ensure that byelaw wording appropriate and to ensure that we are only collecting information that we really need. 	<p>Leigh Hamilton July 2019</p> <p>Leigh Hamilton July 2019</p> <p>Leigh Hamilton/Sandra Dalziel October 2019</p>	<p>Aug 19 – Refresher training given to core staff at front desk. Paperwork is now being monitored by RTL and a new system is being created to ensure consistency with regards to key fields on registration documents.</p> <p>Working with legal to review registration criteria is relevant and all information is processed into DB.</p> <p>a) Completed b) On track for October 2019</p>
11	2019/20	Boat Registration Process	<p><u>Information given on the registration form is not always used</u></p> <p>a) Guidelines for front desk staff should be amended to ensure that where owners have previously registered vessels the database is up to date with regards to whether they are still owned or have been sold.</p> <p>b) As recommended in finding 4 above, management should consider whether any fields in the registration form are not required and should be deleted.</p>	Low	<p>a) This recommendation is accepted.</p> <ul style="list-style-type: none"> - see action in above - review of registration form and review of information collected. - Roll out to front desk staff <p>b) This recommendation is accepted.</p> <ul style="list-style-type: none"> - see action in above - review of registration form and review of information collected. 	<p>Matt Buckland /Leigh Hamilton Feb 2020</p>	<p>On track – as above</p> <p>Review training requirements for FOH operations. Implement a new training monitoring and recording process to highlight areas for staff development.</p>

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12	2019/20	Boat Registration Process	<p><u>Payment for registration plates</u></p> <p>a) Management should consider whether online payments for new registrations should be an option for boat owners and align the registration form and the website to show the same information.</p> <p>b) Management should consider, at the end of the season, whether the current process to no longer attach payment receipts is working effectively or whether the receipts should be attached to the registration form. It would be anticipated that any new system would incorporate sales processes and associated controls.</p>	Low	<p>a) This recommendation is accepted.</p> <ul style="list-style-type: none"> - Registration form to be updated at end of 2019 to remove BACS details and direct customers to website for details on how to pay - In order to align a payment to a vessel a registration number is required, these are not allocated until the registration process is followed therefore payment cannot be taken prior to the allocation of a registration number. <p>b) This recommendation is accepted.</p> <ul style="list-style-type: none"> - Current processes to be reviewed at the close of season 2019. 	<p>Matt Buckland/Eilidh McKerry/Leigh Hamilton</p> <p>Feb 2010</p>	<p>Aug 19 –</p> <p>a) Currently reviewing this. It remains consistent with other local authorities that all new registrations must be completed in person or by post to allow for secure ID checks, payment and issue/allocation of a registration number for each vessel. Looking at systems that other companies use to check ID online e.g Experian.</p> <p>b) Reverted to attaching receipt of payment to all paperwork to minimise any dubiety over proof of payment.</p>
13	2019/20	Boat Registration Process	<p><u>Transfer of Vessel registration number</u></p> <p>Management should consider whether transfer of vessel registration numbers should be allowed. If it is decided this is acceptable staff involved in the registration process should be reminded of the requirement to obtain confirmation from the owner that the registration number has been removed from the original vessel.</p>	Low	<p>This recommendation is accepted.</p> <p>To be reviewed when Navigation Byelaws are reviewed in 2021/22</p>	<p>Matt Buckland</p> <p>March 2022</p>	<p>No action during this reporting period.</p>