

The Audit Plan for Dartmoor National Park Authority

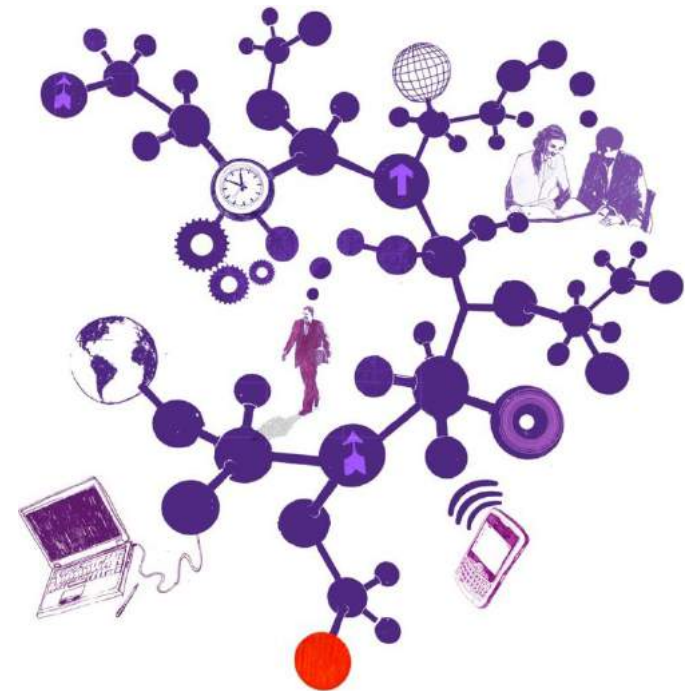
Year ending 31 March 2016

20 April 2016

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The contents of this report relate only to the matters which have come to our attention, which we believe need to be reported to you as part of our audit process. It is not a comprehensive record of all the relevant matters, which may be subject to change, and in particular we cannot be held responsible to you for reporting all of the risks which may affect the Authority or any weaknesses in your internal controls. This report has been prepared solely for your benefit and should not be quoted in whole or in part without our prior written consent. We do not accept any responsibility for any loss occasioned to any third party acting, or refraining from acting on the basis of the content of this report, as this report was not prepared for, nor intended for, any other purpose.

Dartmoor National Park
Parke
Bovey Tracey
TQ13 9JQ

20 April 2016

Dear Members of the Audit and Governance Committee

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Audit Plan for Dartmoor National Park Authority for the year ending 31 March 2016

This Audit Plan sets out for the benefit of those charged with governance (in the case of Dartmoor National Park Authority, the Audit and Governance committee), an overview of the planned scope and timing of the audit, as required by International Standard on Auditing (UK & Ireland) 260. This document is to help you understand the consequences of our work, discuss issues of risk and the concept of materiality with us, and identify any areas where you may request us to undertake additional procedures. It also helps us gain a better understanding of the Authority and your environment. The contents of the Plan have been discussed with management.

We are required to perform our audit in line with the Local Audit and Accountability Act 2014 and in accordance with the Code of Practice issued by the National Audit Office (NAO) on behalf of the Comptroller and Auditor General in April 2015.

Our responsibilities under the Code are to:

- give an opinion on the Authority's financial statements
- satisfy ourselves the Authority has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources.

As auditors we are responsible for performing the audit, in accordance with International Standards on Auditing (UK & Ireland), which is directed towards forming and expressing an opinion on the financial statements that have been prepared by management with the oversight of those charged with governance. The audit of the financial statements does not relieve management or those charged with governance of their responsibilities for the preparation of the financial statements.

Yours sincerely



Geraldine Daly
Engagement Lead

Chartered Accountants

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Understanding your business

In planning our audit we need to understand the challenges and opportunities the Authority is facing. We also consider the impact of key developments in the sector and take account of national audit requirements as set out in the Code of Audit Practice and associated guidance. We set out a summary of our understanding below .

Developments and other requirements

1. Fair value accounting

- A new accounting standard on fair value (IFRS 13) has been adopted and applies for the first time in 2015/16.
- This will have a particular impact on the valuation of surplus assets within property, plant and equipment which are now required to be valued at fair value in line with IFRS 13 rather than the existing use value of the asset.
- Investment property assets are required to be carried at fair value as in previous years.
- There are a number of additional disclosure requirements of IFRS 13.

2. Corporate governance

- The Accounts and Audit Regulations 2015 require local authority bodies including National Park Authorities to produce a Narrative Statement, which reports on the financial performance and use of resources in the year. This replaces the explanatory foreword.
- The Authority is required to produce an Annual Governance Statement (AGS) as part of your financial statements.

3. Financial Pressures

- Managing service provision with less resource with the prior cuts to the National Park Grant.
- Real term reductions will have been 40% in recent years which requires careful management of costs. Despite this, in January 2016 the Department of Environment, Food & Rural Affairs (DEFRA) did notify the Authority of the 'real terms' protection of the national park grant over the period of the spending review (2016/17 to 2020/21)

4. Devolution

- The Autumn Statement 2015 also included proposals to devolve further powers to localities.
- Dartmoor National Park Authority has been working closely with councils in Devon, Somerset, Plymouth and Torbay along with Exmoor National Park Authority, and the Heart of the South West Local Enterprise Partnership on an initial submission or Statement of Intent and have issued a proposal to commence negotiations with government.



Our response

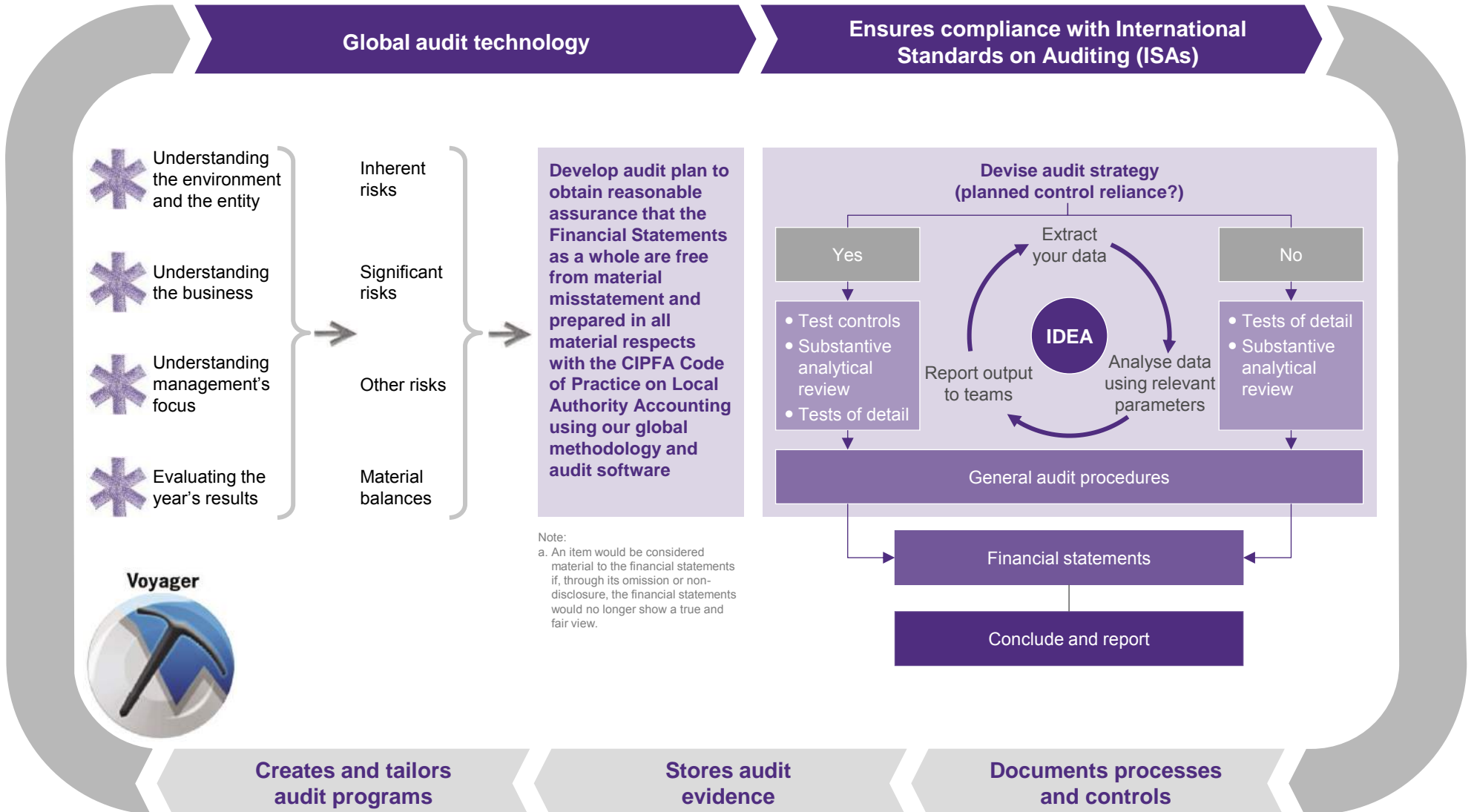
- We will keep the Authority informed of changes to the financial reporting requirements for 2015/16 through ongoing discussions and invitations to our technical update workshops.
- We will review your draft financial statements to ensure you have complied with the disclosure requirements of IFRS 13 where relevant. Our understanding from discussions is that the Authority has no assets to be classified as surplus or investment property as at 31 March 2016.
- We will discuss with you the arrangements performed in year to revalue non current assets as at 31 March 2016. We will be reviewing the valuation of assets to ensure these are materially correct as at 31 March.

- We will review your Narrative Statement to ensure it reflects the requirements of the CIPFA Code of Practice when this is updated, and make recommendations for improvement.
- We will review your arrangements for producing the AGS and consider whether it is consistent with our knowledge of the Authority and the requirements of CIPFA guidance.

- We will review the Authority's performance against the 2015/16 budget, including consideration of performance against the Medium Term Financial Plan taking into account DEFRA's most recent funding announcement.
- We will assess Management's assessment of the Authority being a Going Concern.

- We will consider your plans as part of the local devolution agenda.
- We are able to provide support and challenge to your plans based on our knowledge of devolution elsewhere in the country.

Our audit approach



Materiality

In performing our audit, we apply the concept of materiality, following the requirements of International Standard on Auditing (UK & Ireland) (ISA) 320: Materiality in planning and performing an audit.

The standard states that 'misstatements, including omissions, are considered to be material if they, individually or in the aggregate, could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements'.

As is usual in public sector entities, we have determined materiality for the statements as a whole as a proportion of the gross revenue expenditure of the Authority. For purposes of planning the audit we have determined overall materiality to be £99k (being 1.9% of gross revenue expenditure). We will consider whether this level is appropriate during the course of the audit and will advise you if we revise this.

In the previous year, we determined materiality to be £105k (being 2% of gross revenue expenditure).

Under ISA 450, auditors also set an amount below which misstatements would be clearly trivial and would not need to be accumulated or reported to those charged with governance because we would not expect that the accumulation of such amounts would have a material effect on the financial statements. "Trivial" matters are clearly inconsequential, whether taken individually or in aggregate and whether judged by any criteria of size, nature or circumstances. We have defined the amount below which misstatements would be clearly trivial to be £5k.

ISA 320 also requires auditors to determine separate, lower, materiality levels where there are 'particular classes of transactions, account balances or disclosures for which misstatements of lesser amounts than materiality for the financial statements as a whole could reasonably be expected to influence the economic decisions of users'.

We have identified the following items where separate materiality levels are appropriate.

Balance/transaction/disclosure	Explanation	Materiality level
Cash and cash equivalents	Although the balance of cash and cash equivalents is immaterial, all transactions made by the Authority affect the balance and it is therefore considered to be material by nature.	£1,000
Disclosures of officers' remuneration, salary bandings and exit packages in notes to the statements	Due to public interest in these disclosures and the statutory requirement for them to be made.	£1,000
Disclosure of auditors' remuneration in notes to the statements	Due to public interest in these disclosures and the statutory requirement for them to be made.	£1,000

Significant risks identified

"Significant risks often relate to significant non-routine transactions and judgmental matters. Non-routine transactions are transactions that are unusual, either due to size or nature, and that therefore occur infrequently. Judgmental matters may include the development of accounting estimates for which there is significant measurement uncertainty" (ISA 315). In this section we outline the significant risks of material misstatement which we have identified. There are two presumed significant risks which are applicable to all audits under auditing standards (International Standards on Auditing - ISAs) which are listed below:

Significant risk	Description	Substantive audit procedures
The revenue cycle includes fraudulent transactions	<p>Under ISA 240 there is a presumed risk that revenue may be misstated due to the improper recognition of revenue.</p> <p>This presumption can be rebutted if the auditor concludes that there is no risk of material misstatement due to fraud relating to revenue recognition.</p>	<p>Having considered the risk factors set out in ISA240 and the nature of the revenue streams at the Authority, we have determined that the risk of fraud arising from revenue recognition can be rebutted, because:</p> <ul style="list-style-type: none"> • there is little incentive to manipulate revenue recognition • opportunities to manipulate revenue recognition are very limited • the culture and ethical frameworks of local authorities, including the Authority, mean that all forms of fraud are seen as unacceptable.
Management over-ride of controls	Under ISA 240 it is presumed that the risk of management over-ride of controls is present in all entities.	<p>Work completed to date:</p> <ul style="list-style-type: none"> • Review of accounting estimates, judgments and decisions made by management <p>Further work planned:</p> <ul style="list-style-type: none"> • Review of accounting estimates, judgments and decisions made by management • Testing of journal entries • Review of unusual significant transactions

Significant risks identified (continued)

Significant risk	Description	Substantive audit procedures
Valuation of property, plant and equipment	The Authority revalues its assets on a rolling basis over a five year period. The Code requires that the Authority ensures that the carrying value at the balance sheet date is not materially different from current value. This represents a significant estimate by management in the financial statements.	<p>Work completed to date:</p> <ul style="list-style-type: none"> Review of the competence, expertise and objectivity of management experts used. <p>Further work planned:</p> <ul style="list-style-type: none"> Review of the instructions issued to valuation experts and the scope of their work Discussions with valuer about the basis on which the valuation is carried out and challenge of the key assumptions. Testing of revaluations made during the year to ensure they are input correctly into the Authority's asset register Evaluation of the assumptions made by management for those assets not revalued during the year and how management has satisfied themselves that these are not materially different to current value.
Valuation of pension fund net liability	The Authority's pension fund asset and liability as reflected in its balance sheet represent significant estimates in the financial statements.	<p>Work planned:</p> <ul style="list-style-type: none"> We will identify the controls put in place by management to ensure that the pension fund liability is not materially misstated. We will also assess whether these controls were implemented as expected and whether they are sufficient to mitigate the risk of material misstatement. We will review the competence, expertise and objectivity of the actuary who carried out your pension fund valuation. We will gain an understanding of the basis on which the valuation is carried out. We will undertake procedures to confirm the reasonableness of the actuarial assumptions made. We will review the consistency of the pension fund asset and liability and disclosures in notes to the financial statements with the actuarial report from your actuary.

Other risks identified

"The auditor should evaluate the design and determine the implementation of the entity's controls, including relevant control activities, over those risks for which, in the auditor's judgment, it is not possible or practicable to reduce the risks of material misstatement at the assertion level to an acceptably low level with audit evidence obtained only from substantive procedures"(ISA (UK & Ireland) 315).

In this section we outline the other risks of material misstatement which we have identified as a result of our planning.

Other risks	Description	Audit approach
Operating expenses	Creditors understated or not recorded in the correct period (Operating expenses understated)	<p>Work completed to date:</p> <ul style="list-style-type: none"> • Review of system documentation and walkthrough of transaction <p>Further work planned:</p> <ul style="list-style-type: none"> • Agree creditors to the ledger • Review of a sample of creditors/accruals to confirm they have been appropriately accounted for. • Review of after date payments and sample check for unrecorded liabilities.
Employee remuneration	Employee remuneration accruals understated (Remuneration expenses not correct)	<p>Work completed to date:</p> <ul style="list-style-type: none"> • Review of system documentation and walkthrough of transaction • Trend analysis analytical review up to month 9 • Substantively test a sample of remuneration transactions up to month 9. <p>Further work planned:</p> <ul style="list-style-type: none"> • Reconcile the pay expenditure reported in the financial statements to total expenditure recorded in the payroll. • Substantively test a sample of remuneration transactions. • Trend analysis analytical review for final months of the financial year

Other risks identified (continued)

Other material balances and transactions

Under International Standards on Auditing, "irrespective of the assessed risks of material misstatement, the auditor shall design and perform substantive procedures for each material class of transactions, account balance and disclosure". All other material balances and transaction streams will therefore be audited. However, the procedures will not be as extensive as the procedures adopted for the risks identified in the previous section but will include:

- Assets held for sale
- Cash and cash equivalents
- Usable and unusable reserves
- Movement in Reserves Statement and associated notes
- Statement of cash flows and associated notes
- Grants received and Other revenues
- Officers' remuneration note
- Leases note
- Related party transactions note
- Financial instruments note

Other audit responsibilities

- We will undertake work to satisfy ourselves that disclosures made in the Annual Governance Statement are in line with CIPFA/SOLACE guidance and consistent with our knowledge of the Authority.
- We will read the Narrative Statement and check that it is consistent with the statements on which we give an opinion and disclosures are in line with the requirements of the CIPFA Code of Practice.
- We will carry out work on consolidation schedules for the Whole of Government Accounts process in accordance with NAO instructions to auditors.
- We will give electors the opportunity to raise questions about the accounts and consider and decide upon objections received in relation to the accounts

Value for Money

Background

The Local Audit & Accountability Act 2014 ('the Act') and the NAO Code of Audit Practice ('the Code') require us to consider whether the Authority has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources. This is known as the Value for Money (VfM) conclusion.

The National Audit Office (NAO) issued its guidance for auditors on value for money work in November 2015 [here](#).

The Act and NAO guidance state that for local government bodies, auditors are required to give a conclusion on whether the Authority has put proper arrangements in place.

The guidance identifies one single criterion for auditors to evaluate:

In all significant respects, the audited body had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.

This is supported by three sub-criteria as set out.

Sub-criteria	Detail
Informed decision making	<ul style="list-style-type: none"> Acting in the public interest, through demonstrating and applying the principles and values of good governance Understanding and using appropriate cost and performance information to support informed decision making and performance management Reliable and timely financial reporting that supports the delivery of strategic priorities Managing risks effectively and maintaining a sound system of internal control
Sustainable resource deployment	<ul style="list-style-type: none"> Planning finances effectively to support the sustainable delivery of strategic priorities and maintain statutory functions Managing assets effectively to support the delivery of strategic priorities Planning, organising and developing the workforce effectively to deliver strategic priorities.
Working with partners and other third parties	<ul style="list-style-type: none"> Working with third parties effectively to deliver strategic priorities Commissioning services effectively to support the delivery of strategic priorities Procuring supplies and services effectively to support the delivery of strategic priorities.

Value for Money (continued)

Risk assessment

We completed an initial risk assessment based on the NAO's guidance. In our initial risk assessment, we considered:

- our cumulative knowledge of the Authority, including work performed in previous years in respect of the VfM conclusion and the opinion on the financial statements.
- any illustrative significant risks identified and communicated by the NAO in its Supporting Information.
- any other evidence which we consider necessary to conclude on your arrangements.

We have identified significant risks which we are required to communicate to you. The NAO's Code of Audit Practice defines 'significant' as follows:

A matter is significant if, in the auditor's professional view, it is reasonable to conclude that the matter would be of interest to the audited body or the wider public. Significance has both qualitative and quantitative aspects.

We have set out and detail overleaf the risks we have identified, how they relate to the Code sub-criteria, and the work we propose to undertake to address these risks.

Value for money (continued)

We set out below the significant risks we have identified as a result of our initial risk assessment and the work we propose to address these risks.

Significant risk	Link to sub-criteria	Work proposed to address
<p>Resource deployment Given the size of the authority and the range of its activities, there is a risk on relying too heavily on key members of staff or for there to not be sufficient resources to achieve the Authority's planned outcomes.</p>	<p>This links to the Authority's arrangements for acting in the public interest through demonstrating and applying the principles of good governance; and for deploying workforce to deliver the Authority's priorities effectively.</p> <p>This links with the Authority's arrangements for managing and utilising assets effectively.</p>	<p>We will review the Authority's arrangements for workforce planning and employee strategy. We will also look at the arrangements in place for managing assets.</p>
<p>Medium term financial planning and reliance on key income streams Whilst the Authority has a strong record of managing its financial affairs, it is heavily reliant on the National Park DEFRA Grant as well as a range of smaller income streams which may be temporary or ring fenced. Whilst the future 4 year settlement announced in January 2016 has been welcomed, there is increasing demands on outcomes. There is a requirement to continue to develop income generating activity in the medium term to ensure outcomes are met. There is a risk that income received reduces and does not meet the level required to achieve the Authority's priorities.</p>	<p>This links to the Authority's arrangements for planning finances effectively to support the sustainable delivery of strategic priorities and using appropriate cost and performance information to support informed decision making.</p>	<p>We will review the Authority's arrangements for updating, agreeing and monitoring its Medium Term Financial Plan. Specifically we will consider the robustness of the financial planning assumptions and arrangements for ensuring the financial projections are realistic and achievable.</p> <p>Our review will also consider the different income streams current and predicted and consider how these have been incorporating into the medium term financial plan.</p>
<p>Working with partners The Authority works with and places reliance on a number of partnership working arrangements across a number of its operations and this is considered core to its business. There is a need for effective partnership working across the organisation to achieve its goals and objectives especially given its size.</p>	<p>This links to the Authority's arrangements for working effectively with third parties to deliver strategic priorities.</p>	<p>We will review the Authority's arrangements in 2015/16 for working with partners to effectively deliver the aims of the Authority.</p>

Reporting

The results of our VfM audit work and the key messages arising will be reported in our Audit Findings Report and Annual Audit Letter.

We will include our conclusion as part of our report on your financial statements which we will give by 30 September 2016.

Results of interim audit work

The findings of our interim audit work, and the impact of our findings on the accounts audit approach, are summarised in the table below:

	Work performed	Conclusion
Internal audit	<p>We have completed a high level review of internal audit's overall arrangements. Our work has not identified any issues which we wish to bring to your attention.</p> <p>We have also reviewed internal audit's work on the Authority's key financial systems to date. We have not identified any significant weaknesses impacting on our responsibilities.</p>	<p>Overall, we have concluded that the internal audit service provides an independent and satisfactory service to the Authority and that internal audit work contributes to an effective internal control environment.</p> <p>Our review of internal audit work has not identified any weaknesses which impact on our audit approach.</p>
Entity level controls	<p>We have obtained an understanding of the overall control environment relevant to the preparation of the financial statements including:</p> <ul style="list-style-type: none"> • Communication and enforcement of integrity and ethical values • Commitment to competence • Participation by those charged with governance • Management's philosophy and operating style • Organisational structure • Assignment of authority and responsibility • Human resource policies and practices 	<p>Our work has identified no material weaknesses which are likely to adversely impact on the Authority's financial statements at this stage.</p>

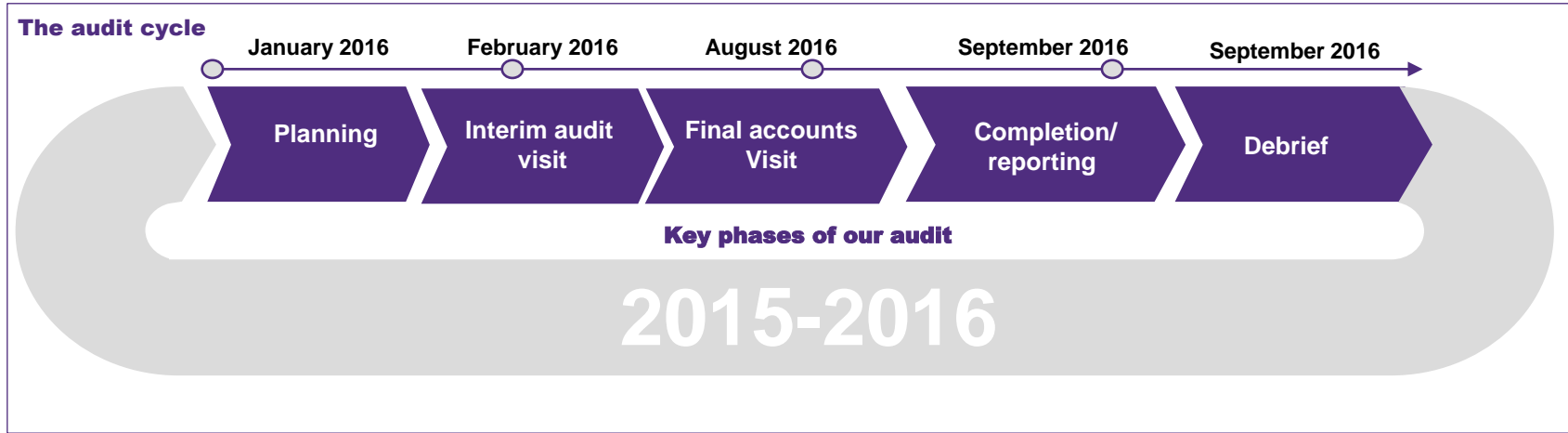
Results of interim audit work (continued)

	Work performed	Conclusion
Review of information technology controls	The information technology for the Authority are supplied and supported by Devon County Council. Our information systems specialist will perform a high level review of the general IT control environment, as part of the overall review of the internal controls systems at Devon County Council.	We will inform the Authority on the results of our work. We will obtain assurance from the auditor of Devon County Council.
Walkthrough testing	We have completed walkthrough tests of the Authority's controls operating in areas where we consider that there is a risk of material misstatement to the financial statements – these are Property, Plant and Equipment, employee remuneration and operating expenses. Our work has not identified any issues which we wish to bring to your attention. Internal controls have been implemented by the Authority in accordance with our documented understanding.	Our work has not identified any weaknesses which impact on our audit approach at this stage.

Results of interim audit work (continued)

	Work performed	Conclusion
Early substantive testing	<p>We have endeavoured to complete as much testing as possible during our interim audit. we have undertaken early substantive testing to period 9 (December 2015) in the following areas:</p> <ul style="list-style-type: none">• Operating Expenses.• Other Revenue• Grants Received, and• Property Plant and Equipment.	<p>Our work has not identify any issues.</p> <p>We will complete the substantive testing in these areas as part of our final accounts fieldwork.</p>

Key dates



Date	Activity
January 2016	Planning
February 2016	Interim site visit
May 2016	Presentation of audit plan to the Audit Committee
May to August 2016	Year end fieldwork
August 2016	Audit findings clearance meeting with Head of Business Support
September 2016	Report audit findings to those charged with governance (Audit and Governance Committee)
September 2016	Sign financial statements opinion

Fees and independence

Fees

	£
Authority audit	11,807
Total audit fees (excluding VAT)	11,807

Our fee assumptions include:

- Supporting schedules to all figures in the accounts are supplied by the agreed dates and in accordance with the agreed upon information request list.
- The scope of the audit, and the Authority and its activities, have not changed significantly.
- The Authority will make available management and accounting staff to help us locate information and to provide explanations.
- The accounts presented for audit are materially accurate, supporting working papers and evidence agree to the accounts, and all audit queries are resolved promptly.

Fees for other services

Service	Fees £
Non-audit services	0

Fees for other services

Fees for other services reflect those agreed at the time of issuing our Audit Plan. Any changes will be reported in our Audit Findings Report and Annual Audit Letter

Independence and ethics

We confirm that there are no significant facts or matters that impact on our independence as auditors that we are required or wish to draw to your attention. We have complied with the Auditing Practices Board's Ethical Standards and therefore we confirm that we are independent and are able to express an objective opinion on the financial statements.

Full details of all fees charged for audit and non-audit services will be included in our Audit Findings Report at the conclusion of the audit.

We confirm that we have implemented policies and procedures to meet the requirements of the Auditing Practices Board's Ethical Standards.

Communication of audit matters with those charged with governance

International Standards on Auditing (UK & Ireland) (ISA) 260, as well as other ISAs, prescribe matters which we are required to communicate with those charged with governance, and which we set out in the table opposite.

This document, The Audit Plan, outlines our audit strategy and plan to deliver the audit, while The Audit Findings Report will be issued prior to approval of the financial statements and will present key issues and other matters arising from the audit, together with an explanation as to how these have been resolved.

We will communicate any adverse or unexpected findings affecting the audit on a timely basis, either informally or via a report to the Authority.

Respective responsibilities

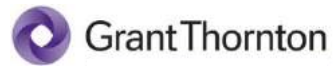
This plan has been prepared in the context of the Statement of Responsibilities of Auditors and Audited Bodies issued by Public Sector Audit Appointments Limited (<http://www.psa.co.uk/appointing-auditors/terms-of-appointment/>)

We have been appointed as the Authority's independent external auditors by the Audit Commission, the body responsible for appointing external auditors to local public bodies in England at the time of our appointment. As external auditors, we have a broad remit covering finance and governance matters.

Our annual work programme is set in accordance with the Code of Audit Practice ('the Code') issued by the NAO and includes nationally prescribed and locally determined work (<https://www.nao.org.uk/code-audit-practice/about-code/>). Our work considers the Authority's key risks when reaching our conclusions under the Code.

It is the responsibility of the Authority to ensure that proper arrangements are in place for the conduct of its business, and that public money is safeguarded and properly accounted for. We have considered how the Authority is fulfilling these responsibilities.

Our communication plan	Audit Plan	Audit Findings
Respective responsibilities of auditor and management/those charged with governance	✓	
Overview of the planned scope and timing of the audit. Form, timing and expected general content of communications	✓	
Views about the qualitative aspects of the entity's accounting and financial reporting practices, significant matters and issues arising during the audit and written representations that have been sought		✓
Confirmation of independence and objectivity	✓	✓
A statement that we have complied with relevant ethical requirements regarding independence, relationships and other matters which might be thought to bear on independence. Details of non-audit work performed by Grant Thornton UK LLP and network firms, together with fees charged. Details of safeguards applied to threats to independence	✓	✓
Material weaknesses in internal control identified during the audit		✓
Identification or suspicion of fraud involving management and/or others which results in material misstatement of the financial statements		✓
Non compliance with laws and regulations		✓
Expected modifications to the auditor's report, or emphasis of matter		✓
Uncorrected misstatements		✓
Significant matters arising in connection with related parties		✓
Significant matters in relation to going concern		✓



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DARTMOOR NATIONAL PARK AUTHORITY

6 May 2016

DRAFT FINANCIAL OUTTURN 2015/16Report of the Head of Business Support

Recommendation : Subject to any amendment Members see fit to propose:

- (i) That the content of this report is noted;**
- (ii) Recommend that the Authority transfers the 2015/16 revenue surplus of £161,154 into Reserves;**
- (iii) Recommend that the Authority approves the transfer of grants and contributions received with specific conditions or restrictions and monies set aside for contractual commitments into earmarked reserves, as set out in section 3.5 of the report;**
- (iv) Agree that it is unnecessary to include a note in the Statement of Accounts relating to the remote possibility of a contingent liability, as set out in section 6 of this report**

1 Introduction

- 1.1 The Authority is required to set a balanced budget at the start of each financial year and robust budget management and financial control has been maintained throughout the year; which is essential to ensure that priorities are delivered in accordance with the Authority's plans.
- 1.2 This Committee has received detailed financial management reports on a quarterly basis and has therefore been kept up to date regarding in-year variances and forecast outturn.

2 The 2015/16 Financial Outturn

- 2.1 The draft financial outturn position as at 31 March 2016 can be found at Appendix 1 and after transfers, to and from, reserves it is anticipated that there will be a surplus of £161,154. (A surplus of £78,888 was forecast at month 9). A detailed variance analysis is provided at Appendix 2.
- 2.2 The Authority has once again proved successful in generating additional income, and has continued to make operational and efficiency savings in-year (as reported during the year). The main variations against budget which have contributed to the outturn surplus are set out in Table 1 below.

Table 1.

Operational & Efficiency Savings	£
National Parks Conference – budget provision not required due to external sponsorship from partners	15,000
Members' allowances, expenses, training – budget savings	7,982
Utilities & Wood fuel – budget savings, reduced use (mild winter)	10,310
Communications Service Specialist support – budget not required	5,000
Voluntary Wardens – budget not required, but outcomes achieved to date	9,500
Support Services operational budgets and corporate training – savings made	19,302
Additional Income:	
Car Parking at Princetown – income from charging	4,861
Granite & Gears external grant (matches expenditure)	6,030
£ For the Park – contributions from event participants	6,084
Adopt a Monument, HER audit, Properties in Care, White Horse Hill external grants	15,949
Donations (including car park cairns)	3,237
Planning Fees – scales of fees set by Government	31,117
Retail sales at our Visitor Centres	28,956
Mires grant from SWW – towards continued monitoring/evaluation	2,000
Recharge of Officer time to other organisations – providing services	3,978
Renewable Heat Incentive – biomass boiler at Princetown	2,931
Sponsorship (Airwick) – final payment	3,000
Treasury deposit income –management of working balances	7,162
Contribution from Devon County Council for Swincombe Bridge (matches expenditure)	75,000

- 2.3 The Project Fund (unallocated) budget of £157,675 was approved by the Authority at the start of the year. Bids approved by Leadership Team or the Authority in-year total £115,972, as set out in table 2 below. This leaves a remaining balance of £41,703 which accounts for a significant part of the increased outturn. Some projects or works have not been completed at year-end, or they span more than one financial year and are therefore included in the carry forward requests set out in section 3.4 of this report.

Table 2.

	£
Project Fund Opening Balance	(157,675)
Mires evaluation	4,500
*Dartmoor Farming Futures Internship post	7,000
*Peatland Study	15,000
*Mires PR14	10,000
Princetown Visitor Centre HLF bid	1,000
VMWare Upgrade (ICT system)	3,375
Dartmoor Society (grant)	2,000
Staff support: Enforcement	7,000
LEP – rural enterprise area concept	2,500
Wild camping film	4,500
Re-decoration of public WCs at Parke	879
*Website redesign	25,000
Scanning historic plans & surveys	659
Telephone system upgrade	6,159
Additional hours – Ranger Service	2,400
Heart of the South West Devolution programme	5,000
Repairs - Postbridge Ranger store	1,500
*All Moor Butterflies (NPA/15/037)	17,500
Total Allocated	115,972
Remaining Balance	(41,703)

*Items subject to carry forward requests

2.4 There have been some over spends (as previously reported) which predominately relate to:

- Internal improvements and maintenance the National Park Visitor Centre, Princetown, at Parke and Station Yard Depot
- Additional, specialist staff support to cover absence and vacancies in some service areas
- Operational running costs for the Moor than Meets the Eye Team
- Granite & Gears expenditure, but funded from external grant
- Swincombe Bridge installation, but funded from external grant
- Enforcement related legal costs
- Other specialist legal advice

2.5 The Authority also received £175,000 in respect of a S106 agreement relating to the Development at Chagford (Masterplan site) . This income will be accounted for separately and not included in our own Statement of Accounts, as it will be used by a third party to deliver community benefit . A further commuted sum is anticipated to be received in 2016/17.

2.6 The Authority is now in the second year of the five year, £3.9m, Heritage Lottery Fund (HLF) Landscape Partnership Project: “Moor than Meets the Eye” and is the lead accountable body. The income and expenditure relating to this project is accounted for separately and is therefore not included in our own Statement of Accounts. The Scheme Manager is line managed by the Director of Conservation and Communities and reports to the Landscape Partnership Board (Mr Lloyd

represents the Authority on the Board) and to the HLF. Members are kept informed of the Scheme progress, the financial implications and the associated risks via the Audit and Governance Committee and an annual report to the Authority.

3 Transfers to and from Reserves

- 3.1 Transfers to and from Reserves in-year can be found at Appendix 1. The first three columns marked as “a” (pale pink) shows the Original Budget, in-year budget movements and the subsequent Revised Budget. In-year movements include virements between budgets and transfer of monies from the Project Fund.
- 3.2 The column marked as “b” in green shows the Outturn position before transfers to and from Earmarked Reserves. The accounting transfers to and from Earmarked Reserves are made at year end and are set out in the following tables.
- 3.3 Transfers from Earmarked Reserves (column “c” pale blue and set out in table 3 below) represent the 2014/15 work programme slippage and income bought forward (NPA/15/016) along with the in-year allocations approved by the Authority.

Table 3.

Transfers from Earmarked Reserves (column c)	£
Farming Futures	14,230
Action For Wildlife partnership balance	21,385
Hill Farm project: Princes Countryside Fund Grant	7,891
English Heritage grant: Historic Farmsteads	5,230
Granite and Gears Funding contribution	30,000
DCC: Public Rights of Way work out standing	10,984
Defra: Public Rights of Way flood repairs	120,703
Haytor Hoppa Grant from Natural England	1,750
Postbridge Visitor Centre design	11,650
Naturally Healthy Dartmoor Grant	12,294
Dartmoor Communities Fund Contributions	80,132
Local Plan related commitments & contracts	10,385
Aerial Photography contact	11,678
Your Dartmoor Grant Fund balance (awarded not paid)	53,500
Reserves used to balance the 2015/16 budget	15,000
Total	406,812

3.4 Proposed transfers to Earmarked Reserves (column “d” pale blue and set out in table 4 below) relate to:

- Grants and contributions received with restrictions; and
- Specific work programmes (contracts and commitments) that are span more than one financial year; and
- The anticipated 2015/16 budget surplus.

Table 4.

Transfers To Earmarked Reserves (column d)	£
Peatland Study	10,000
Mires PR14 and evaluation	17,000
All Moor Butterflies	17,500
Farming Futures	12,871
Prince’s Countryside Fund grant: Hill Farm Project	15,003
English Heritage grant: White Horse Hill	4,500
Higher Uppacott: new septic tank	20,000
DCC: Public Rights of Way, work outstanding	9,467
Defra: Public Rights of Way flood repairs, work outstanding	31,256
Website Redesign	15,000
DCC: Naturally Healthy Dartmoor project grant	6,948
Discovering Dartmoor’s Wild Stories HLF grant	646
Plymouth Area Sub-regional Study	3,500
Communities Fund Grant balance (awarded not paid)	52,877
TDC: 2016/17 Communities Fund Grant	25,000
Total	241,568

3.5 The draft outturn position as at 31 March 2016 after transfers to and from reserves is therefore set out in the column “e” (coloured green) and is anticipated to be £161,154; which will also be transferred to reserves to be allocated as part of the Medium Term Financial Plan process in 2016.

3.6 Approval had been given to use reserve balances for remodeling works at the National Park Visitor Centre, Princetown. Costs of £10,282 were incurred and as much of the work was undertaken in-house, this expenditure can be met from the in-year revenue surplus.

3.7 Repairs and maintenance at Higher Uppacott have also been undertaken (thatching and windows) which is being jointly funded via Moor than Meets the Eye HLF grant and our own revenue budget. Further works are on-going to consolidate the fabric of the building, which will result in long-term benefit for the conservation and management of our asset and should result in lower on-going maintenance costs. We have also discovered new and exciting historical information whilst the works have been happening (removing inappropriate, modern materials internally) which has altered our understanding of how the building has evolved over the centuries. This has also had an impact on the work programme, hence the request to carry forward unspent budget.

4 Capital Programme and Prudential Indicators

- 4.1 The Authority had just one item of capital expenditure in 2015/16 which was a remnant of 2014/15. The third pool car was delivered in May at a cost of £9,004 and has been funded from the in-year revenue surplus, rather than from reserves.
- 4.2 The Authority has no plans for external borrowing and therefore the remaining prudential indicators do not apply.

5 Reserve Balances

- 5.1 The net transfer from Reserves as at 31 March is anticipated to be £4,090 i.e. our reserves balances have reduced by this much. A summary of the total opening and closing Reserve Balances is set out in table 5 below. Full details of the in-year movements and the transfers to and from Earmarked Reserves as set out in section 3 of this report, can be found in Appendix 3.

Table 5.

Reserve Balances	£
2014/15 Opening Balance	2,995,057
Use of reserves in 2014/15 (table 2)	(406,812)
Transfers to reserves for specific purposes (table 3)	241,568
2014/15 Revenue Surplus	161,154
Total Reserves at 31 March 2015	2,990,967

The General Reserve (unallocated) will be maintained at £450,000 as previously approved by the Authority in March 2016 (NPA/16/009) and is included in the table above and in Appendix 3.

- 5.2 These balances are determined in part by our on-going work programmes and projects and by our normal risk based analysis and methodology as set out at Appendix 4.

- 5.3 Members will recall that when we set the 2016/17 Revenue Budget in March (NPA/16/009) we did not create a detailed Medium Term Financial Plan (MTFP) for the following 2 years. At that time, National Park Grant (NPG) for 2016/17 – 2019/20 had only just been confirmed, resulting in a year-on year increase of 1.72%. Members agreed that a detailed 3 year MTFP would therefore be produced during 2016/17. This will be presented to the Authority in the autumn.
- 5.4 In building the new MTFP we must provide for new challenges and ongoing issues and uncertainties such as:
- Opportunities to invest in order to diversify our income base and develop new sources of funding i.e. become less reliant on NPG
 - Uncertainty over national pay settlements for the public sector; currently there is a weighted increase on offer from the Employers' side, from around 6.6% on scale point 6, with sliding scale increases until scale point 17 of 1.3% and a 1% increase at scale point 18 and above
 - Maintaining the pension contributions determined by the actuary to reflect the triennial valuation due at the end of 2016/17
 - State Pension and National Insurance changes (for example, changes to the latter have already increased our costs by over £50,000 in 2016/17)
 - Potential repairs and maintenance at Parke; the next quinquennial review is due
 - Management of the Authority's other land and buildings

6 Contingent Liability – Historical Management Agreement Payments

- 6.1 Members will recall that in previous years (from 2006 to 2012) we had included a contingent liability disclosure note relating to the possible repayment of historical management agreement payments (totaling £1.2m) which had been made between by the Authority between the 1980s and 2007. These payments were subsequently identified as falling within the EU definition of state aid for farming support. This resulted in the inclusion of an Emphasis of Matter being reported by the auditors in their audit opinion every year since 2006.
- 6.2 In 2012/13, Grant Thornton (GT), who took over the external audit function from the Audit Commission, referred this matter to their technical team and invited the Authority to consider this matter each year in order to ascertain whether:
- A contingent liability should be disclosed – as it should not, if the possibility of transfer in settlement is remote.
 - Whether there is a need for the inclusion of the emphasis of matter – as it would not, if the likelihood of repayment remains remote

Members at that meeting concurred with the GT Auditors and considered their approach to be sensible, pragmatic and very welcome and the note was subsequently removed from the accounts in 2013/14.

6.3 Management and the S151 Officer continue to consider this issue on an on-going basis and have come to the following conclusions for 2015/16:

- No further progress has been made in respect of the retrospective approval from the EU and it is becoming increasingly unlikely that it will be scheduled to be heard (Defra sources)
- The possibility of a transfer in settlement remains remote
- As more time passes the likelihood of the Authority having to make any repayment is increasingly remote
- The Authority has adequate reserve balances – if a worst case scenario occurred
- A contingent liability note in respect of this issue should not be included in the 2015/16 accounts

Members are invited to consider the issue and approve the decision for the note to be excluded.

7 Accounts and Audit Regulations 2015

7.1 Whilst the deadline for the 2015/16 Statement of Accounts to be authorised for Issue by the Chief Financial Officer is still 30 June, the Accounts and Audit Regulations 2015 has resulted in some changes, the most significant being:

- The bringing forward of the dates for the production and audit of accounts. Starting in 2017/18 local authorities will have to produce unaudited accounts by 31 May and the audit should be completed by 31 July. However there are transitional arrangements for 2015/16 and 2016/17 in that the deadlines remain the same as previously (the relevant dates being 30 June and 30 September)
- The unaudited accounts now have to be published formally on the website
- The inspection period is to commence once the unaudited accounts are issued, but the minimum 30 working day period must contain at least the first 10 working days of July (2015/16 and 2016/17) or June (2017/18 onwards)
- The publicity arrangements for the inspection period have been modified – the advert being placed in a local newspaper is no longer required. The notice should be put on the website no more than 2 weeks before the inspection period starts
- The rights for the public to make objections and ask questions lapses at the end of the inspection period (currently they are “live” until the audit is certified as closed)
- There is a new requirement for a Narrative Statement to accompany the Statement of Accounts (replacing the Explanatory Foreword) featuring comment by the authority on its financial and non-financial performance; including its efforts to secure economy, efficiency and effectiveness in its use of resources (Value for Money)
- Internal audit have been given rights to any documents, information or explanations from members and officers as they consider necessary
- The remuneration note has been modified, (to clarify that pension contributions figures should exclude deficit funding element)
- A requirement specific to NPAs that they must deposit their accounts (including the Annual Governance Statement and the Narrative Statement)

with each constituent authority, being any authority entitled to appoint Members, including the Secretary of State (Defra)

- 7.2 We have decided this year to attempt to produce the Statement of Accounts as close as we can to the new deadline (31 May) i.e. carry out a first dry-run. Whilst this means some additional pressures for the finance team and spending officers; we have spent time in the last 3 months, reviewing our procedures and processes in preparation. It is extremely pleasing to note that we are already ahead of target and believe that it is possible to meet the new deadline this year. We will keep Members informed of progress.
- 7.3 The final version of this Outturn report will however be presented to the Authority for approval on 3 June (after the 31 May deadline). This means that in order to meet the deadline in future years we will have to reschedule the Authority / and or Audit & Governance meetings accordingly; this will be discussed at the Annual Meeting in July. The Statement of Accounts will be available for public inspection during July. The audit process will be split into two parts this year; at Grant Thornton's request, the first visit will take place week commencing 31 May and the second in the week commencing 15 August. Grant Thornton will present the Audit Letter to the Authority on 2 September.

8 Sustainability and Equality Impact

- 8.1 Consideration is always given, when deciding which areas of expenditure should be supported, to equality and sustainability issues.

9 Conclusions

- 9.1 The outturn surplus of £161,154 represents a minus 4% variance against the 2015/16 budget (£210,184 a minus 6% variance in 2014/15). The final outturn position may change very slightly over the next month as we finalise the Statement of Accounts, but no further significant variations are anticipated at this time.
- 9.2 Considering the Authority's ambitious and often diverse work programme and the record of achievement and performance reported elsewhere on this agenda, 2015/16 has been a year of sound financial management. There has been some slippage in programmed work, and these have been reported during the year via the Budget Management reports and the Business Plan Monitoring Reports to this Committee.
- 9.3 It is clear that the 2015/16 budget surplus, resulted mainly from:
- Increased income from sales, fees and charges, sponsorship, donations and treasury
 - Robust cost control and efforts to seek out the best price and value for money
 - Proactively seeking and achieving efficiency savings wherever possible
 - Continued success at leveraging in external grant income by working in partnership with others
- 9.4 We have put in place a clear performance monitoring framework for the Business Plan and a series of "Dashboards" for individual services. These should help us

maintain robust financial management and guard against unplanned over expenditure or budget slippage.

- 9.5 Notwithstanding the deep cuts in the last Parliament, the Authority is in a robust financial position. The outcome from the 2015 Spending Review means that we can plan ahead with financial certainty and renewed confidence, given the statement in the Government's "8-Point Plan for England's National Parks"

DONNA HEALY

Background Papers

NPA/AG/15/013 - Financial Management 1 April to 30 September 2015

NPA/AG/16/001 - Financial Management 1 April to 31 December 2015

NPA/15/006 – 2015/16 Net Revenue Budget, Medium Term Financial Plan & Capital Budget

NPA/15/016 – Financial Outturn 2014/15

NPA/16/009 – 2016/17 Net Revenue Budget, Medium Term Financial Plan & Capital Budget

Attachments – Appendix 1 - 2015/16 Financial Outturn & Transfers to/from reserves
Appendix 2 - 2015/16 Outturn Variances
Appendix 3 – Reserve Balances
Appendix 4 – Risk Based Analysis of Reserve Balances

Dartmoor National Park Authority 2015/16 Financial Outturn & Transfers To/(From) Reserves

Appendix 1 to NPA/AG/16/008

	a	a	a	b	c	d	e	f	
Services	2015/16	2015/16	2015/16	2015/16	2015/16	2015/16	2015/16	2015/16	
	Original Budget	Budget Variation	Revised Budget	Outturn pre Reserve Transfers	(From) Reserves in-year	To Reserves @ 31 March 16	Revised Outturn	Year End Deficit/(Surplus)	Final Year End Variances (after reserve transfers)
	£	£		£	£	£	£	£	
Biodiversity & Mires	120,196	47,000	167,196	140,662	(21,385)	44,500	163,777	(3,419)	Salary savings
Land Management	10,538	7,000	17,538	17,909	(14,230)	12,871	16,550	(988)	Brought forward / Carry forward year end balance. Pony Support budget saving
Woodlands	41,512		41,512	40,565			40,565	(947)	Estate management budget saving
Hill Farm Project - Princes Countryside Fund	14,734		14,734	7,888	(7,891)	15,003	15,000	266	Brought forward / Carry forward year end balance
Hill Farm Project	14,433		14,433	12,585			12,585	(1,848)	Foundation for Common Land income
Directorate Costs	7,850		7,850	6,898			6,898	(952)	Uniform costs transferred to services
Natural Environment	209,263	54,000	263,263	226,507	(43,506)	72,374	255,375	(7,888)	
Archaeology	91,151	2,659	93,810	74,322		4,500	78,822	(14,988)	Salaries savings and Income from Heritage England, FEPs, recharged officer time
Built Environment	38,012		38,012	46,438	(5,230)		41,208	3,196	Specialist support costs
Moor Than Meets the Eye Development Phase			0	4,141			4,141	4,141	Equipment and other running costs to be met by DNP (non-eligible HLF expenditure)
Higher Uppacott	30,052		30,052	43,202		20,000	63,202	33,150	Septic tank installation delayed. MTMTE match funding project costs met from revenue
Cultural Heritage	159,215	2,659	161,874	168,103	(5,230)	24,500	187,373	25,499	
Visitor Management	78,137	4,500	82,637	94,963	(30,000)		64,963	(17,674)	Savings: cleaning costs and recycling / litter removal. Car parking charges and donations
Access	101,511		101,511	88,882			88,882	(12,629)	Access agreements not renewed. £ For the Park income
Public Rights of Way	83,942		83,942	175,265	(131,687)	40,723	84,301	359	Carry forward year end balance - to cover commitments/contracts awarded
Sustainable Transport & Tourism	28,915		28,915	31,152	(1,750)		29,402	487	Haytor Hoppa income brought forward
Recreation Management, Traffic & Transport	292,505	4,500	297,005	390,262	(163,437)	40,723	267,548	(29,457)	
Visitor Centres	162,900	1,000	163,900	156,774	(11,650)		145,124	(18,776)	Sales Income. Centre improvements met from revenue rather than reserves. Brought Forward balance for Postbridge VC not fully used
Communications	167,295	25,000	192,295	165,578		15,000	180,578	(11,717)	Carry forward Website budget. Savings: Enjoy Dartmoor, promotion, specialist support
Naturally Healthy Dartmoor	0		0	5,346	(12,294)	6,948	0	0	Brought forward / Carry forward year end balance
Discovering Dartmoor's Wild Stories				(646)		646	0	0	Brought forward / Carry forward year end balance
Education	118,829		118,829	114,043			114,043	(4,786)	Savings: Transport, training, Ranger Ralph, resources
Education, Information & Communication	449,024	26,000	475,024	441,095	(23,944)	22,594	439,745	(35,279)	
Rangers	424,712	2,400	427,112	414,058			414,058	(13,054)	Savings: Training, volunteers, equipment repairs, salaries
Conservation Works Service	226,777	1,500	228,277	220,702			220,702	(7,575)	Savings: Salaries
Development Management	331,899	7,000	338,899	331,646			331,646	(7,253)	Planning fee Income offsetting increased salary costs & legal/enforcement costs
Forward Planning & Community	187,730	2,500	190,230	192,426	(90,517)	81,377	183,286	(6,944)	Communities Fund brought forward / carry forward balances and contribution towards Plymouth Area Sub-regional Study
Sustainable Development Fund	0		0	50,980	(53,500)		(2,520)	(2,520)	Grants now all paid and fund closed
Corporate and Democratic Core	325,761	5,000	330,761	301,151			301,151	(29,610)	Treasury & sponsorship income. Savings: Members training and expenses and NP Conference (due to external sponsorship)
Information Technology	173,393	3,375	176,768	183,791	(11,678)		172,113	(4,655)	Savings: Salaries, ICT contracts. Income from working for DPA
Corporate Operating Costs	117,652	6,158	123,810	122,507			122,507	(1,303)	General office running cost savings
Finance & Administration	170,289		170,289	168,511			168,511	(1,778)	Training budget not fully utilised
Legal & Democratic Services	87,321		87,321	93,244			93,244	5,923	Specialist Legal advice costs
Human Resources	142,269		142,269	137,131			137,131	(5,138)	Training budget not fully utilised
Office Accommodation (Parke)	97,732	879	98,611	95,343			95,343	(3,268)	Savings: Utilities
Office Accommodation (Princetown)	35,369		35,369	31,215			31,215	(4,154)	Biomass boiler - RHI income and lower than anticipated wood fuel costs
Support Services	824,025	10,412	834,437	831,742	(11,678)	0	820,064	(14,373)	
Capital				9,004			9,004	9,004	Pool Vehicle: Costs to be met from revenue underspend, not reserves
Project Fund	157,675	(115,972)	41,703				0	(41,703)	Project Fund Balance not allocated
Total Net Expenditure	3,588,586	0	3,588,586	3,577,676	(391,812)	241,568	3,427,432	(161,154)	
Funded By:	£	£	£	£	£	£	£	£	
National Park Grant	(3,573,586)		(3,573,586)	(3,573,586)			(3,573,586)	0	
Transfer From Reserves to Balance the Budget	(15,000)		(15,000)		(15,000)		(15,000)	0	
Total	(3,588,586)	0	(3,588,586)	(3,573,586)	(15,000)	0	(3,588,586)	0	
Budget Variation - (Under) / Over Spend	0	(0)	(0)	4,090	(406,812)	241,568	(161,154)	(161,154)	

2015/16 OUTTURN VARIANCE ANALYSIS	Salaries	Travel & Subsistence	Premises	Transport	Supplies & Services	Expenditure Overspend (Underspend)	Grants	Sales Fees & Charges	Income Deficit (Surplus)	Total Variance Deficit (Surplus)	Explanation
	£	£	£	£	£	£	£	£	£	£	
BIO-DIVERSITY	(15,572)	(265)			(18,580)	(34,417)	(2,000)		(2,000)	(36,417)	Budget included MIRES end of project costs, but part funded by SWW. PR14 & Peatland projects to be carried forward
MIRES PROJECT	12,665	403			4,290	17,358	(7,470)		(7,470)	9,888	Final salary costs after project end met by DNPA and SWW
LAND MANAGEMENT	1,169	91			(2,846)	(1,586)		1,957	1,957	371	Ponny support budget not fully utilised, income budget not achieved
WOODLANDS	(72)	338			(810)	(544)		(403)	(403)	(947)	Estate management budget saving
DIRECTORATE COSTS		495		390	(1,837)	(952)			0	(952)	Uniform spend allocated to individual budgets
HILL FARM PROJECT - DNPA	929	247			1,002	2,178	(2,500)	(1,530)	(4,030)	(1,852)	Duchy & Farmer Agency Training income meeting overtime & increased project costs
HILL FARM PROJECT- PCF	(441)	97			(5,552)	(5,896)		(950)	(950)	(6,846)	Balance to be carried forward
NATURAL ENVIRONMENT	(1,322)	1,406	0	390	(24,333)	(23,859)	(11,970)	(926)	(12,896)	(36,755)	
ARCHAEOLOGY	(5,509)	(166)			2,886	(2,913)	(15,949)	(627)	(16,576)	(19,489)	Salary saving due to recruitment at lower graded post. WHH income to be carried forward. Income from FEPs. Reconstruction illustration of Fernworthy Stone Circle funded by Forestry Commission. HER grant from Historic England
MOOR THAN MEETS THE EYE					4,141	4,141			0	4,141	Non-eligible project costs
BUILT ENVIRONMENT	3,223	103			(130)	3,196			0	3,196	Specialist additional staff cover and additional Employers NI costs
UPPACOTT			36,053			36,053	(19,954)	(2,949)	(22,903)	13,150	MTMTE Project spend to be met from revenue underspend, HLF funding received
CULTURAL HERITAGE	(2,286)	(63)	36,053	(124)	6,897	40,477	(35,903)	(3,576)	(39,479)	998	
VISITOR FACILITIES	1,181		(161)	110	22,715	23,845	(6,030)	(5,489)	(11,519)	12,326	Agency staff covered sickness absence. Granite & Gears Grant contribution to DCC. Mobile vending licence income under budget. Granite & gears exp & funding for Princetown railway. Savings: WCs cleaning, Litter collection. Car parking and donations income
ACCESS & RECREATION	(1,260)	191		(120)	(5,356)	(6,545)		(6,084)	(6,084)	(12,629)	Expired access agreements. £ for the park income
PUBLIC RIGHTS OF WAY	859				34,277	35,136	(75,000)	(500)	(75,500)	(40,364)	Swincombe Bridge met by external grant funding. Flood repair grant (Defra) and PROW grant
SUSTAINABLE TOURISM & TRANSPORT	21	502			(2,036)	(1,513)	1,000	1,000	2,000	487	
RECREATION MANAGEMENT	801	693	(161)	(10)	49,600	50,923	(80,030)	(11,073)	(91,103)	(40,180)	
VISITOR CENTRES	6,075	33	(1,327)	265	7,968	13,014	(2,834)	(28,956)	(31,790)	(18,776)	Overtime and additional hours budget overspent. Internal improvements at Princetown Visitor Centre. Increased retail sales income and HLF grant
COMMUNICATIONS	(3,015)	(687)			(28,066)	(31,768)		5,050	5,050	(26,718)	Salary savings. Specialist support budget not required. Website budget to be carried forward. Enjoy Dartmoor cost savings but advertising income target not achieved
EDUCATION	(100)	(332)		(1,267)	(4,352)	(6,051)		1,265	1,265	(4,786)	Savings: Outreach vehicle, training, Ranger Ralph, resources and uniform. Events income target not achieved
PROMOTING UNDERSTANDING	2,960	(986)	(1,327)	(1,002)	(24,450)	(24,805)	(2,834)	(22,641)	(25,475)	(50,280)	
RANGERS	(3,597)	(550)	203	3,125	(9,274)	(10,093)		(2,961)	(2,961)	(13,054)	Savings: Overtime & additional hours, training equipment & Voluntary Warden budgets. Extra Vehicle leasing & repair costs being offset by fuel savings. Donations received towards officer time spent supporting filming on private land and from Burger King toward litter clearance
CONSERVATION WORKS SERVICE	(12,313)	(9)	(478)	1,513	4,847	(6,440)		(1,135)	(1,135)	(7,575)	Salary savings due to sickness, cover provided by agency staff. Storage facility improvements, extended vehicle lease costs and vehicle repairs at lease termination. Recharge of officer time spent supporting MTMTE
RANGERS, ESTATES & VOLUNTEERS	(15,910)	(559)	(275)	4,638	(4,427)	(16,533)	0	(4,096)	(4,096)	(20,629)	
DEVELOPMENT MANAGEMENT	6,132	2,196		290	15,246	23,864		(31,117)	(31,117)	(7,253)	Legal costs re enforcement and professional legal advice. Linhay Quarry consultancy contract offset by planning pre-application fee. Temporary staff cover, agency staff & recruitment costs. Savings: planning appraisal costs & public notices. Increased planning fee income.
DEVELOPMENT MANAGEMENT	6,132	2,196	0	290	15,246	23,864	0	(31,117)	(31,117)	(7,253)	
FORWARD PLANNING & COMMUNITY	1,674	39		78	(65,112)	(63,321)			0	(63,321)	Honorarium. Public Realm works. Dartmoor Communities Fund Grant Scheme brought forward and carried forward cash. Local Plan Review work re-schedules as part of the 2016/17 budget
SUSTAINABLE DEVELOPMENT FUND					(2,520)	(2,520)			0	(2,520)	Your Dartmoor Grant Fund terminated. Balance to be transferred to reserves
FORWARD PLANNING	1,674	39	0	78	(67,632)	(65,841)	0	0	0	(65,841)	
CORPORATE & DEMOCRATIC CORE	740	(624)			(752)	(9,571)		(19,403)	(19,403)	(29,610)	Increased Treasury income, Airwick sponsorship payment & budget provision set aside for the Conference not required due to increased sponsorship income. Savings: Members' training and expenses
CORPORATE & DEMOCRATIC CORE	740	(624)	0	(752)	(9,571)	(10,207)	0	(19,403)	(19,403)	(29,610)	
INFORMATION TECHNOLOGY	(1,634)	(374)			(312)	(1,088)		(1,247)	(1,247)	(4,655)	Salaries saving appointment at lower grade. Various contract cost savings. Recharge of Officer Time to DPA
CORPORATE OPERATING COSTS					(1,742)	457		(18)	(18)	(1,303)	Savings: Vehicles, printing & stationery, postage and Insurance off setting extra property valuation costs
FINANCE & ADMINISTRATION	(1,386)	61			(453)	(1,778)			0	(1,778)	Savings: Salaries and training
LEGAL	1,851	(134)			7,196	8,913		(2,990)	(2,990)	5,923	Honorarium. Professional legal advice - "Vires" being offset by legal costs recovered
HUMAN RESOURCES	440	234			(578)	96		(5,234)	(5,234)	(5,138)	Cycle scheme costs offset by recovery from pay
OFFICE ACCOMMODATION (PARKE)	(4)	4	(2,454)			(2,454)		(814)	(814)	(3,268)	Increased office cleaning and security costs being offset by savings from utilities
OFFICE ACCOMMODATION (PRINCETOWN)			(1,223)			(1,223)		(2,931)	(2,931)	(4,154)	Increased repairs, equipment & office cleaning and security costs being offset by savings from utilities, wood fuel purchased and RHI income
SUPPORT SERVICES	(733)	(209)	(3,677)	(2,054)	5,534	(1,139)	0	(13,234)	(13,234)	(14,373)	
MOVEMENT IN RESERVES AT YEAR END						0			0	135,468	Other year end transfers - a full list can be found at Appendix 1
CAPITAL						0			0	9,004	To be met from revenue underspend
PROJECT FUND						0			0	(41,703)	Balance remaining to be transferred to reserves
REVENUE EXPENDITURE	(7,944)	1,893	30,613	1,454	(53,136)	(27,120)	(130,737)	(106,066)	(236,803)	(161,154)	

2015/16 to 2016/17 RESERVE BALANCES

Appendix 3 to NPA/16/008

Earmarked Reserves	2015/16 Opening Balance £	2015/16 Transfers Within £	Transfers to Revenue	2015/16 Transfers from Outturn £	2015/16 Closing Balance £	2016/17 Movements Within / From / (To) £	2016/17 Closing Balance £	Notes
Grants & Contributions with Restrictions								
Defra: Flood & Winter Storm Damage - Grant b/fwd	(120,703)		120,703	(31,256)	(31,256)	31,256		0 Transferred to revenue budget
Defra: Flood & Winter Storm Damage - Grant c/fwd					0			0 Carry forward at year end
Your Dartmoor Grant Fund	(53,500)		53,500		0			0 Grants awarded not paid out at 31.03.15 (scheme now ended)
Prince's Countryside Fund: Hill Farm Project	(7,891)		7,891	(15,003)	(15,003)	15,003		0 Project runs from 2015-2017 allocate at year end
Natural England - Internship	(14,230)		14,230	(12,871)	(12,871)	12,871		0 Approval to employ and Intern 2015-2016
English Heritage: White Horse Hill	(15,536)			(4,500)	(20,036)	20,036		0 To fund the Exhibition at Postbridge VC
English Heritage: Historic Farmsteads	(5,230)		5,230		0			0 Project runs from 2014-2015
Natural England & Partners: Haytor Hoppa	(1,750)		1,750		0			0 For the 2015 summer service
DCC: Public Rights of Way	(10,984)		10,984	(9,467)	(9,467)	9,467		0 Service Level Agreement fund balance allocated to 2015/16
2013/14 New Homes Bonus	(6,750)		6,750		0			0 For 2015-2016 financial year
WDBC: Communities Fund Grant 2015/16	(15,000)		15,000		0			0 For 2015-2016 financial year
TDC: Communities Fund Grant 2015/16	(25,000)		25,000	(50,000)	(50,000)	50,000		0 For 2015-2016 financial year
WDBC: Communities Fund Grant 2014/15	(17,627)		17,627	(22,093)	(22,093)	22,093		0 Grants awarded not paid out as at 31.03.15
SHDC: Communities Fund Grant 2014/15	(15,755)		15,755	(5,784)	(5,784)	5,784		0 Grants awarded not paid out as at 31.03.16
DCC: Naturally Healthy Dartmoor Project	(12,294)		12,294	(6,948)	(6,948)	6,948		0 Project runs from 2014-2017
DCLG: Vanguard Right to Buy	(10,000)			0	(10,000)	10,000		0 To be used to support the project in 2015-2017
SWW contribution towards Upstream scientific monitoring				(2,000)	(2,000)	2,000		0 Received in 2015 for 2016 onwards
Action for Wildlife partnership balance		(21,385)	21,385		0			0 Balance transferred to MTMTE
Discovering Dartmoor's Wild Stories				(646)	(646)			
Budget management Fund - Provisions (risk based)								
Employees	(351,000)	89,000			(262,000)		(262,000)	See risk assessment for breakdown
Costs and Awards: Appeals/Public Enquiries/Litigation	(250,000)				(250,000)		(250,000)	See risk assessment for breakdown
Loss of Income and Inflation	(102,000)	22,000			(80,000)		(80,000)	See risk assessment for breakdown
Historic: reductions in NPG	(571,588)	571,588			0		0	To support revenue budget and / or redundancy costs - not required
Invest to Save and / or Generate Projects		(378,233)			(378,233)		(378,233)	To be utilised / allocated in the new MTFP
2014/15 Year end Surplus	(210,184)	210,184			0		0	Allocated in year within movements column
2015/16 Outturn				(161,154)	(161,154)	12,000	(149,154)	To be allocated during 2016/17 via the MTFP process
Capital Expenditure Fund								
Vehicles - Sinking Fund - Replacement	(24,596)	(12,000)			(36,596)	(12,000)	(48,596)	Pool Vehicle delivered 2015 & met from in-year revenue underspend
Property - Sinking Fund - Repairs & Maintenance	(150,000)				(150,000)		(150,000)	See risk assessment for breakdown
Known Commitments								
Broadband phase 1	(10,000)				(10,000)	10,000	0	Rural Community Broadband Project - payment due 2016
Aerial Photography	(11,678)		11,678		0		0	
Princetown Visitor Centre	(33,846)	33,846			0		0	Internal improvements met from revenue in year
Postbridge Visitor Centre	(11,650)		11,650		0		0	Project currently on hold
Ashburton Mater Planning (BDP contract)	(4,809)		4,809		0		0	
Chagford Cattle Grid	(3,000)				(3,000)	3,000	0	Timing not known
Local Plan Review	(122,500)				(122,500)		(122,500)	Between 2015 & 2019 (estimates only/timing unknown)
Gypsy and Traveller Accommodation Assessment	(1,996)		1,996		0		0	
Strategic Housing Market Needs Assessment (SHMNA)	(3,580)		3,580		0		0	
All Moor Butterflies				(17,500)	(17,500)	17,500	0	Approved by Authority Dec 2015 - NPA/15/037
Peatland Study				(15,000)	(15,000)	15,000	0	Allocated from project fund - spans more than 1 year
MIRES PR14				(10,000)	(10,000)	10,000	0	Allocated from project fund - spans more than 1 year
Higher Uppacott - septic tank installation				(20,000)	(20,000)	20,000	0	Installation delayed
Website redesign				(15,000)	(15,000)	15,000	0	Allocated from project fund - spans more than 1 year
Contribution to Plymouth Area Sub-regional Study				(3,500)	(3,500)	3,500	0	Allocated from Forward Planning Budget
Match Funding Reserve								
HLF - Moor Than Meets the Eye match funding	(200,000)				(200,000)	200,000	0	Allocated but held by DNP until required to match cash flows
Moor than Meets the Eye - Cash Flow		(300,000)			(300,000)		(300,000)	Based on project cash flow - retention and final claim in year 5
Superfast Broadband - connecting Dartmoor & Exmoor		(65,000)			(65,000)	65,000	0	Approved in 2015/16, to be paid 2016/17
Cycling in National Parks (DFT) match funding	(30,000)		30,000		0		0	NPA/13/015 to be paid over in 2016
NPA/14/044 Princes Countryside Fund match funding	(30,000)		15,000		(15,000)	15,000	0	NPA/14/044 for years 2015-2017
Greater Dartmoor LEAF 2015-2020	(20,700)				(20,700)	6,900	(13,800)	NPA/14/038 for years 2018-2020
Naturally Healthy Dartmoor Project	(25,000)				(25,000)	15,000	(10,000)	NPA/14/031 for years 2016-2017
Princetown Visitor Centre	(146,680)	146,680			0		0	Not required, project re-defined, see below
Dartmoor's Wild Stories		(48,800)			(48,800)	48,800	0	Matches HLF Funding, to be used in early 2016/17
National Parks Partnerships LLP		(10,000)			(10,000)		(10,000)	Allocated as a provision
Our Common Cause: Our Upland Commons		(8,000)			(8,000)	8,000	0	NPA/16/006 Match towards a HLF bid
Unallocated fund balance	(48,000)	(79,880)			(127,880)		(127,880)	NPA/16/009
	(2,695,057)	150,000	406,812	(402,722)	(2,540,967)	638,158	(1,902,809)	
General Reserve (unallocated emergency reserve)	(300,000)	(150,000)		0	(450,000)	0	(450,000)	NPA/16/009
Total General Fund Balance	(2,995,057)	0	406,812	(402,722)	(2,990,967)	638,158	(2,352,809)	

2015/16 RESERVES: RISK BASED ANALYSIS <i>Dependent on 2015/16 closing balances</i>	Risk Level	Rate	2015/16 Closing Balance £'000
Grants & Contributions with Restrictions carried forward: Grants & Contributions with Restrictions	N/A	Actual	186
Employees: Allowance for increased pay awards Maternity / Paternity Cover Equal Pay Claims / Employment Tribunals Pension Fund - Past Deficit Recovery	Low High Low Medium	1% extra PA Based on 4 staff Est. Est.	25 42 50 145
Costs & Awards: Appeals / Public Enquiries / Litigation	High	Est.	250
Loss of Income: Planning related fees Reduced Sales, Fees & Charges Partnership Income / Grants	Medium Medium High	10% 10% 10%	19 23 16
General Price Increases:	Medium	Average of 3%	22
Capital - Property: Repairs & maintenance (sinking fund)	Medium	Est.	150
Capital - Vehicles Provision for future replacement of vehicles (sinking fund)	N/A	Est.	36
Known Commitments/Contracts Chagford Cattle Grid Broadband Phase 1 Local Plan Review All Moor Butterflies Peatland Study MIREs PR14 Higher Uppacott Septic tank installation Website redesign Plymouth Area Sub-regional Study	N/A N/A N/A N/A N/A N/A N/A N/A N/A	Actual Actual Est. Actual Actual Actual Est. Est. Actual	3 10 122 18 15 10 20 15 4
Match Funding Reserve Superfast Broadband Princes Countyside Fund - Hill Fram project Greater Dartmoor LEAF Naturally Healthy Dartmoor Dartmoor's Wild Stories - HLF Our Common Cause National Parks Partnerships LLP Unallocated to match future opportunities Moor Than Meets The Eye - match funding Moor Than Meets The Eye - cash flow provision	N/A N/A N/A N/A N/A N/A N/A N/A N/A N/A High	Actual Actual Actual Actual Actual Actual Actual Actual Actual Actual C/F forecast	65 15 21 25 49 8 10 128 200 300
Revenue Invest to save and / or Generate Projects 2015/16 Outturn to be allocated via the new MTFP	N/A	Actual Est	378 161
General Reserve - Minimum amount to cover unanticipated costs / emergencies			450
Total Reserve Balance			2,991

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 MAY 2016

2015/16 DRAFT ANNUAL GOVERNANCE STATEMENTReport of the Head of Business Support

Recommendation : That subject to any changes made by this committee, the Draft 2015/16 Annual Governance Statement attached, is presented to the Authority for approval in June

1 Introduction

- 1.1 Every local government body operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes from the services provided.
- 1.2 The CIPFA/SOLACE document “Delivering Good Governance in Local Government: Framework” and “The Accounts and Audit (England) Regulations 2015”, requires that the Authority conduct, at least once in a year, a review of the effectiveness of its system of internal control and that following the review, must approve an Annual Governance Statement, prepared in accordance with proper practices in relation to internal control. The Annual Governance Statement must accompany the Statement of Accounts.
- 1.3 The Authority also adopted a Local Code of Corporate Governance, which is regularly reviewed and updated to evidence improvements and changes made to governance arrangements.

2 2015/16 Annual Governance Review

- 2.1 The production and publication of an Annual Governance Statement (AGS) is the final stage of an on-going review of governance and not an activity which can be planned and viewed in isolation. Production of the AGS involves the whole Authority.
- 2.2 During 2015/16 the review of the effectiveness of the governance arrangements has been informed by:
 - The work of officers who have responsibility for the maintenance and review of governance;
 - Undertaking service area reviews which lead to service improvements, efficiency savings and better outcomes for the Park and its communities;
 - The work of the Audit & Governance Committee, who have responsibility for scrutinising performance and for reporting performance outcomes to the Authority;

- The work of Internal and External Audit (Devon Audit Partnership and Grant Thornton); and
- Listening to and working with our communities, our partners and our constituent Local Authorities

2.3 To help us review the effectiveness of our governance arrangements we use a self assessment style tool to benchmark ourselves against suggested best practice. This helps us to identify any areas of weakness or areas that need improvement. This tool allows us to review a cross section of governance arrangements at once and includes our:

- General corporate governance arrangements;
- System of internal control; and
- Core principles contained within the Local Code of Corporate Governance

2.4 The draft AGS for 2015/16 is attached at Appendix 1, which includes an action plan for improvements. Members are invited to comment on the content of the AGS before it is presented to Authority for approval in June.

3 Equality and Sustainability Impact

3.1 The Authority seeks to treat all people equally, honestly and fairly in any, or all of its business activity, including partners, visitors, suppliers, contractors, service users and employees when setting or reviewing its Corporate Governance arrangements.

4 Financial Implications

4.1 There are no financial implications arising specifically from the annual review of the Annual Governance Statement.

5 Conclusion

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

- Our system of internal control is sound;
- We have in place proper and sound arrangements to detect and deter fraud and corruption; and
- Our arrangements to ensure the legality of our business transactions are adequate and effective.

DONNA HEALY

ANNUAL GOVERNANCE STATEMENT

2015/16

SCOPE OF RESPONSIBILITY

Dartmoor National Park Authority (DNPA) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and 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, DNPA 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.

DNPA 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 or from The Monitoring Officer, Dartmoor National Park Authority, Parke, Bovey Tracey, Newton Abbot, Devon TQ13 9JQ. The Annual Governance Statement explains how DNPA 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 DNPA 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 DNPA 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 DNPA 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 at DNPA for the year ended 31 March 2016 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, since its adoption in December 2009.

THE GOVERNANCE FRAMEWORK & LOCAL CODE OF CORPORATE GOVERNANCE

DNPA 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 DNPA's governance arrangements are based on the 6 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 being revised annually in a process involving a wide range of partners/stakeholders
- 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) as set out in the Application Note to "Delivering Good Governance in Local Government". The CFO is the County Treasurer of Devon County Council whose services are retained through a Service Level Agreement. This arrangement which requires some delegation to the Head of Business Support which is set out in Financial Regulations.
- 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 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 discussed and approved annually by the Authority and then actively monitored/reviewed on a regular basis within year by the Audit and Governance Committee. The Authority's internal project management guidance requires identification and management of risks. The Strategic Risk Register is monitored by Leadership Team on a quarterly basis together with consideration of more operational 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 reviewed by the Leadership Team and is reported to the Audit and Governance Committee on a quarterly basis.
- Performance management is applied consistently throughout the Authority against a Performance Management Framework. Reports of progress against performance targets is reported quarterly to Audit & Governance Committee
- Performance against Corporate processes and outcome targets is further assessed through the National Park Authority Performance Assessment (NPAPA) process. DNPA was assessed in February 2011. There are no current plans to re-run the NPAPA process for a third time. Defra have accepted that the current audit regime, coupled with our reporting arrangement for the Management Plan provides sufficient reassurance. There will also be an annual meeting between the Chairs of the English National Park Authorities and the Minister with the National Park portfolio to report progress/highlight areas of concern.
- 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

Dartmoor National Park 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.

Significant improvements have been undertaken during 2015/16 as follows:

- Adopted a Communications Strategy, which has a particular focus on external communications and community engagement
- Reviewed Financial Regulations, Procurement Procedures, Anti-Fraud & Corruption policy and Confidential Reporting policy
- Hosted a Dartmoor Business Forum Workshop and participated in a South Devon Business Survey with South Hams District and West Devon Borough Councils, which resulted in a range of actions being agreed to address issues and make improvements in relation to connectivity and planning
- Appointed a new Independent Person in accordance with the Localism Act 2011 and the new Standards Regime
- Adopted the Local Development Scheme (LDS) which sets out the Authority's Local Plan preparation programme and formed a Local Plan Steering Group
- Amended the Authority's Standing Orders to reflect the Local Authorities (Standing Orders) (England) (Amendment) Regulations 2015
- Adopted a new Statement of Community Involvement – which sets out how the Authority will engage with stakeholders on the Local Plan preparation programme
- Worked with Exmoor National Park Authority to publish an economic prospectus for the two National Parks, to support the Government's Rural productivity Plan 2015
- Engaged in the Heart of the South West (HoTSW) devolution deal process to ensure that the interests of Dartmoor National Park and the communities that live within the National Park are represented
- Developed and implemented a new approach to performance management comprising: introducing Dashboard reporting for key services, a revised set of Performance Indicators and an improved Business Plan monitoring tool
- Contributed to work at a national and local level to develop fundraising and new income sources

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 2016/17:

- Develop a programme to enable a wider use of apprenticeships, internships and volunteers to support the Authority's work
- Continue the Local Plan Review preparation Programme
- Undertake a Dartmoor residents survey (repeat of survey held in 2013 to gather information on what local residents think about our services)
- Implement a proactive programme to develop new funding streams to support the work of the Authority at a local and national level
- Continue with the Dartmoor Communities Grant Fund to provide support to local communities
- Work with other authorities in the Heart of the South West to develop a productivity plan as part of wider work on devolution and ensure that the rural dimensions to this agenda are not forgotten
- Seek support and funding for a Rural Productivity network (in partnership with Exmoor National Park Authority)
- Launch a new Organisational Development Strategy (and action plan) to support staff, volunteers and members, to improve processes and sustain high performance
- Launch the revised website as a two-way tool for communication, focused on user needs
- Advertise and seek to appoint a second Independent Person in accordance with the Localism Act 2011 and the new Standards Regime
- Undertake a first dry run towards a quicker closedown for the 2015/16 Accounts. A new deadline has been set for the 2017/18 Accounts; 31 May instead of 30 June
- Review the SLA for provision of the role of Chief Financial Officer, now that the Authority's Head of Business Support has qualified and been admitted as a member of CIPFA

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: **Signed:**.....

Chairman of the Authority

**K D Bishop
Chief Executive (National Park Officer)**

Date: **Date:**

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 May 2016

BUSINESS PLAN MONITORING 2015/16Report of the Head of Organisational Development

Recommendations : That Members note the content of the report and comment on performance against the key actions identified in the 2015/16 Business Plan

1 Purpose of the Report

- 1.1 This report is to inform Members of performance against the key actions identified in the Authority's Business Plan for 2015/16.
- 1.2 The Authority uses a spreadsheet (traffic light system) to track progress which is reviewed by Leadership Team each quarter. Copies of the complete Business Plan monitoring spreadsheet for 2015/16 are available to Members upon request.

2 Performance for 2015/16

- 2.1 The Business Plan 2015/16 identified 57 key actions against the six agreed priorities for the Authority. Nine of these key actions relate specifically to the *Moor than meets the eye* Landscape Partnership.
- 2.2 Progress against the 57 actions is summarised in the table below:

Progress	No.	%
Completed	31	54%
In progress/ongoing*	18	32%
Not completed	8	14%

** Although not fully completed there has been significant progress and achievements regarding the 18 actions which are ongoing. Some of these actions are longer-term projects. Full details of progress made against each action are contained in the Business Plan monitoring record (available upon request).*

2.3 The following key actions were not completed during 2015/16:

1. Explore opportunities for a Dartmoor specific farming survey and benchmarking to inform farm business improvements and provide evidence on farming trends
2. Work in partnership to develop site specific and targeted information for visitors in response to problems caused by dogs and litter
3. Work with the local community, Forestry Commission and other partners to develop and deliver recreational trails, interpretive media and visitor management for the Postbridge and Bellever area (MTMTE)
4. Develop a loan box scheme for handling archaeological collections available to local schools to fit with the National Curriculum Stage 2
5. Development Management - undertake a Customer Satisfaction Survey
6. Development Management - provide training to Parish Councils
7. Pilot drop-in sessions for local businesses to provide free advice on planning issues.
8. Ensure we have a comprehensive programme to attract and support people who are interested in volunteering for the National Park.

3 Key achievements and observations

Highlighted below are some examples of key achievements and associated outcomes in 2015/16:

3.1 Higher Uppacott

A programme of works to improve the fabric of the Higher Uppacott has been progressing well, part funded through MTMTE. The thatching programme was bought forward and completed across all elevations. Internal works to remove modern features has been completed in line with the conservation plan; this work revealed new evidence about the building which required re-assessment of the proposals and has caused some slippage to further planned work. Group visits to Higher Uppacott have increased significantly through the year – enabling us to tell the story of the building’s history and the works we are currently doing to restore it - which is reflected in the increase in the number events.

3.2 Rippon Tor Survey

A full archaeological survey was completed. This significantly improved our understanding of this Premier Archaeological Landscape and will lead to targeted management of key sites working with Dartmoor Preservation Association volunteers and Eco-skills students appointed through MTMTE. The survey revealed a new medieval field system and prehistoric cairns, previously not recorded, and this information has now been updated onto the Historic Environment Record.

3.3 Public Rights of Way

Work has been ongoing during the year to increase community and volunteer support for the maintenance and improvement of public rights of way. There has been some good progress and the amount of time Rangers spend directly on PROW is decreasing. There has not been the take up from local communities to enter into a Community Paths Scheme and therefore other options are being

developed, with a clear focus on identifying rights of way projects that local people might be able to help with. This will require continued effort over the coming year.

3.4 Junior Ranger Programme

Engaging young people is a priority area of work identified in the Management Plan. In 2015/16 we used the Europarc Junior Ranger Programme to pilot a year-long project for young people aged 13 – 16. Junior Rangers were exposed to a variety of experiences, those which equipped them with 'hard skills' – such as the correct way to fell a tree with hand-tools, as well as soft-skills – developing teamwork, self-confidence and resilience.

Junior Rangers on the main programme contributed 480 hours of voluntary conservation work. In addition, six Junior Rangers accompanied the Outreach Vehicle at events over the summer and two Junior Rangers produced an exhibition at Parke.

All Junior Rangers achieved the John Muir Award 'explorer' 8 day Award and also received a Dartmoor National Park Authority Certificate and a Europarc Junior Ranger Programme Certificate.

3.5 Princetown Visitor Centre

The Authority was successful with a bid to the Heritage Lottery Fund during 2015/16 which enabled us to start work on a new display about Dartmoor's wildlife and improve access to the Visitor Centre. The HLF grant has also helped fund a programme of engagement activity on wildlife.

3.6 Postbridge Visitor Centre

The Moor than meets the eye Landscape Partnership programme includes a project to potentially extend Postbridge Visitor Centre to accommodate artefacts from the Whitehorse Hill finds. Architects were commissioned and they produced several designs for consideration by the Authority and the Duchy of Cornwall (the site is owned by the Duchy and the Authority would require their permission for any extension/re-development). During the course of the discussions with the Duchy it became apparent that the cost of an extension that met the Authority's requirements (in terms of useable space, access standards etc.) and the Duchy's design requirements was beyond the available budget. These discussions also highlighted other issues pertaining to the existing lease. Discussions are continuing with the Duchy about other options including demolition and re-build and the Authority is considering other ways in which to deliver the outcomes agreed for this project. A report will be presented to Authority when we are clear about the options but, at present, this project is clearly behind schedule and at risk.

3.7 Apprenticeships

During 2015/16 we supported an apprentice in our Business Support Team through to its completion in October 2015. We were also delighted to be able to offer a permanent position to our apprentice within our Conservation Works Team. We continue to consider opportunities for apprentices that help support National Park purposes.

The Head of Organisational Development is scoping a project to develop proposals for a Dartmoor apprenticeship programme to be in place by the end of 2016/17. The programme will be designed to meet the Authority's requirements (aligned with the Government's Plan for National Parks), building on existing good practice and offering a rewarding experience for apprentices.

The Authority is also engaged with a project being led by North York Moors NPA developing new employer led national apprenticeship frameworks. The *Trailblazers Project* is looking to establish three frameworks: *Countryside Worker*, *Rural Tourism/Visitor Management* and *Built Heritage*.

3.8 Volunteering

The development of a comprehensive and coordinated programme of volunteering opportunities has not been completed and is a priority for 2016/17. Nevertheless, we have developed new volunteering opportunities – the recent introduction of the Haytor second Sundays being a good example – and we continue to work closely with our Voluntary Wardens (with increased numbers), volunteer groups and individuals on an ad-hoc basis.

4 Equality and Sustainability Impact

- 4.1 The Authority seeks to treat all people equally, honestly and fairly in any, or all of its business activity, including partners, visitors, suppliers, contractors, service users. There are no specific impacts arising from this report.

5 Financial Implications

- 5.1 There are no financial implications arising directly from this report.

6 Conclusion

- 6.1 Members will note from this report that the Authority has made very good progress in delivering the Business Plan for 2015/16.

NEIL WHITE

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 May 2016

PERFORMANCE INDICATORS 2015/16Report of the Head of Organisational DevelopmentRecommendations : **That Members:**

- (i) **analyse the performance for 2015/16 and consider any action which may be taken to improve and maintain good performance or to address under performance**
- (ii) **consider and agree the proposed performance indicators and associated targets for 2016/17**

1 Purpose of the Report

- 1.1 This report informs Members of performance against Dartmoor National Park Authority performance targets for 2015/16 and provides an opportunity to discuss, query and challenge performance against each indicator.
- 1.2 Our performance in 2015/16 and the proposed targets for 2016/17 are provided in Appendix 1.
- 1.3 The report also sets out proposed changes to how performance indicators will be reported to Members in future years.

2 Review of Performance Indicators

- 2.1 The Authority's current set of performance indicators include 'state of the park' indicators that we have little direct influence over as well as more specific indicators about the Authority's performance. Some of these indicators are agreed locally and others are agreed nationally (i.e. required by Central Government or agreed with other National Park Authorities).
- 2.2 In January 2016, Leadership Team carried out a review of these performance indicators so that we are clear about what we are seeking to achieve and also how and where we report performance data.
- 2.3 The outcome of the review is a proposal to distinguish between different types of performance indicator in recognition of the separate reporting framework for the National Park Management Plan and also the introduction of service dashboards in 2015/16.
- 2.4 It is therefore proposed that we report performance indicators as follows:
 - National Park Management Plan indicators are reported to the Management Plan Delivery Board (chaired by the Authority and comprising key partners). They are reported to the Authority in March. These indicators are related to the *Ambitions* in the Management Plan and many are outcome based.

- Performance indicators that relate to how our services are performing will be reported to Audit & Governance Committee in May each year and monitored during the year. Some of these are so-called ‘family indicators’ i.e. they are collected by all English National Park Authorities according to an agreed methodology. This ‘family’ information will be shared with Members annually when available (normally July).

2.5 The review also resulted in a proposal to delete some obsolete indicators and the introduction of revised/new indicators to reflect changing services and requirements. Appendix 2 sets out our performance monitoring framework for 2016/17 including the proposed changes and associated targets.

3 Performance for 2015/16

3.1 Attached at Appendix 1 is the performance of the Authority against the agreed targets for 2015/16.

3.2 The proposed targets against each performance indicator for 2016/17 are also included in Appendix 1 for Members consideration.

3.3 Further explanation regarding performance in 2015/16 is highlighted below under each of three strategic themes – Sustain, Enjoy, Proper (order and reference numbers as shown in Appendix 1).

SUSTAIN

3.4 S3 - Scheduled Ancient Monuments

For the third successive year we have managed to surpass our target with the removal of 18 high or medium at risk scheduled monuments from the register against a target of 15. The outcome has been delivered through the following means:

- | | |
|--|---------|
| • HLS schemes (following consultation with DNPA) | 8 sites |
| • DNPA archaeology works and volunteer days | 2 sites |
| • Securing EH funding for bracken spraying in the Upper Plym | 7 sites |
| • HE funded “adopt a monument” scheme | 1 site |

3.5 For 2016/7 it is suggested that we increase the target to 18 scheduled monuments. This target should be achievable based upon the works programme that is currently being planned and developed.

3.6 S7 - Erosion sites

The deadline for the completion of this survey work has been missed, therefore the data is incomplete.

3.7 S10 - Percentage of income derived from sources other than National Park Grant

A target of 25% was set for 2015/16, but only 21% has been achieved this year. This target was perhaps a little unrealistic as the previous years’ performance had been enhanced by having the MIREs Project, which has now ceased. Members will note from the Financial Outturn Report, elsewhere on this agenda, that income received from grants, fees and charges, donations, treasury and retail sales was significant and has contributed to an overall budget surplus.

3.8 **S11 - Carbon emissions**

Following significant reductions to our carbon emissions in recent years (due to investment in energy efficient measures and the biomass boiler at Princetown for example) we indicated in May 2015, that we would not continue to see reductions at the same pace and therefore reduced the target in 2015/16 to -4%. As anticipated, despite a further positive reduction overall of -2.46%, this target has proven to be too ambitious. Carbon emissions for our buildings did reduce by 6.5%, reflecting the server virtualisation project and other recent improvements. However our carbon emissions for transport increased by 2% and are something that will fluctuate, being directly related to work programmes. Our ability to mitigate further significant energy efficiency measures are restricted therefore the aim for 2016/17 is to maintain the current level of emissions, so a target of 0% is proposed.

3.9 **S14 - Member attendance**

Overall Member attendance at Authority meetings was 83% against a target of 85%. At the request of the Chair of this Committee an update was provided in November 2015 and performance in the final two quarters of 2015/16 has improved. A target of 84% is proposed for 2015/16.

3.10 **S16 - Quality of Planning Service**

The customer satisfaction survey is delayed. In future it is intended to supplement this with more regular feedback from customers which can feed into a 'live' improvement plan that the Planning Team are currently working on.

3.11 **S17 - Appeals allowed against DNPA decision**

We did not meet our target of 33%. Officers will review the appeal decisions so that we can identify potential policy and/or procedural issues and learn from these.

ENJOY

3.12 **E2 - Public Rights of Way**

The reduction in the percentage of footpaths that are easy to use (from 93% in 2013/14 to 83% in 2015/16) is a combination of reduced financial resource and the impact of extreme weather (e.g. intense rainfall).

3.13 **E4 - Litter**

Despite seeking a reduction in the amount of litter collected by the Authority we have collected more. This is a societal issue. We hope that initiatives like the 2 minute clean will help address this problem.

3.14 **E6 - Residents Satisfaction Survey**

This survey was first conducted in 2013/14 and the intention was always to repeat every three years. The results of the complete survey will be presented to the Audit and Governance Committee in February 2017.

3.15 **E7 - Visitor Satisfaction Survey**

We are developing a new Visitor Survey which will be conducted in the summer of 2016 with the results, which will be presented to Members, expected by the end of the year.

3.16 **E10 - Large scale events**

The management of large scale recreational events continues to be a significant area of work for the Authority with increasing demands on staff time. We have noticed an

increase in the number of events being run as a commercial entity and there appears to be a trend in organisers seeking to deliver a series of events throughout the year, rather than annual “one-off” events.

3.17 The Authority continues to provide advice to event organisers and liaises with landowners and local communities to ensure that events are well managed, and assist in delivering wider agendas to provide opportunities for open air recreation, healthy lifestyles and economic benefits. Whilst at the same time seeking to minimise negative impacts that organised events can have on the landscape and local communities.

3.18 **E10 (b) £ for the Park**

The Authority has continued to promote the *£ for the Park* voluntary donation scheme to event organisers and contributions have supported access projects including the replacement Swincombe Bridge (Fairy Bridge) at Hexworthy and repairs to the Nuns Cross bridleway at South Hessary.

3.19 A *Donate for Dartmoor* fundraising initiative is to be launched this summer that will take the current voluntary donation programme and develop it beyond the current focus on large-scale recreation events (Fundraising Action Plan 2016/17; NPA/AG/16/007).

3.20 There is no target set for *Donate for Dartmoor* in 2016/17 as this will be a baseline year, however, the target for *£ for the Park* is increased to £11,000.

E11 Events organised by DNPA

3.21 Group visits to Higher Uppacott have increased significantly through the year which is reflected in the increase in the number events and attendance.

PROSPER

3.22 **P3 Volunteer Days organised by DNPA**

The Authority has continued to organise and support volunteers however the data for 2015/16 is incomplete which, at the time of writing, is being investigated.

3.23 **P5 Affordable Housing**

Our Senior Forward Planner estimates that we have around 230 units stalled or slowed significantly before reaching the planning process, as a result of recent and pending government policy changes. These include:

- Housing association rent review – this has resulted in stalled and reviewed offers from housing associations, and renegotiation between developers and housing associations on scheme mix, and consequently altered plans. This has been a cause of delay on the application for 93 units.
- Affordable Housing Threshold – a number of sites are stalled either because the owners are awaiting a government policy change, or because land value/expectations have altered significantly as a result of this
- Right to Buy – two exception site scheme have stalled because landowners are concerned about the Right to Buy. This is not around land value per se, but around their assurance land released is for community benefit in perpetuity. Parish Councils have also expressed a lack of support for potential schemes as a result of the threat of Right to Buy in the National Park.

- Starter Homes, and the changing definition of affordable housing – concerns around starter homes are also stalling schemes where there is uncertainty around scheme mix and land/development values

3.24 In schemes that have come forward the presumption in favour of sustainable development, challenging viability and streamlined appeal process for S106 contributions, can often weigh in favour of developers negotiation affordable housing contributions downwards.

3.25 **P8 - Media articles in the press**

Our target for media articles in the local papers on Dartmoor and the Western Morning News was 250, this nearly doubled to 498 for this past year. In addition to that we have enjoyed excellent coverage on local and national TV and have a regular Sunday morning feature on BBC Radio Devon. This is not without its downside with regard to the amount of staff time this takes to achieve this high level of media profile.

3.26 **P9 - Social Media**

Our reach on social media has increased greatly over the past year and as such we will be changing the PI for next year to reflect all our social media channels, not just Twitter. More detailed analysis can be picked up from the communications dashboard.

3.27 **P11 - Attendance at Parish Meetings**

The attendance of officers and Members at Parish Meetings has been very good.

4 **Staff and Member Training**

4.1 Training performance is no longer contained within our performance indicators although we still collect the data. The number of training days provided per member of staff was 4.29 (5.52 in 2014/15) and per Member 1.47 (1.3). The previous targets (when last set in 2013/14 were 5 and 1.5 days respectively).

5 **Compliments & Complaints**

5.1 We received 65 written compliments (emails/letters) during 2015/16 across all services from members of the public, volunteers, service users and organisations.

5.2 Examples include the “excellent & brilliant” training of 22 school educators (Education), the rescue of drivers from “beached cars”, burst tyres, and serious accidents (Rangers) “charm and diplomacy” displayed (Enforcement) and working together as Team Dartmoor – “Reassuring to have a professional team at your side during an emergency” (Reception & Rangers).

5.3 We also receive compliments and other feedback via social media and we are considering how these are managed and recorded.

5.4 During 2015/16 the Authority received and managed 14 complaints (compared to 12 in 2014/15) under the formal stages of our Complaints Procedure. None of these complaints were later referred on to the Local Government Ombudsman (2 in 2014/15).

5.5 We continue to seek to learn lessons from the complaints and compliments that we receive. The Complaints Officer monitors ongoing correspondence to identify any

recurring issue or trend and has facilitated meetings with team managers to identify lessons to learn and how we might improve performance.

6 Equality and Sustainability Impact

- 6.1 The Authority seeks to treat all people equally, honestly and fairly in any, or all of its business activity, including partners, visitors, suppliers, contractors, service users. There are no specific impacts arising from this report.

7 Financial Implications

- 7.1 There are no financial implications arising directly from this report.

8 Conclusion

- 8.1 Members will note from this report that overall the Authority has maintained an excellent level of service in priority areas as measured against the agreed Performance Targets (see appendix 1).

NEIL WHITE

Attachments: Appendix 1 – Performance Indicators 2015/16 and targets for 2016/17
Appendix 2 – Performance Monitoring Framework: 2016/17

New Ref No.	How will we measure our achievement	Responsible Officer	Outturn		Target
			2014/15	2015/16	2016/17
SUSTAIN Conservation of the Natural and Historic Environment					
S1(a)	% of SSSI land in the National Park as a whole in	NB			100%
	a) favourable condition	NB	16%	16%	30% (Data supplied by Natural England on 6 year rolling programme)
	b) unfavourable recovering	NB	82%	82%	70% (Data supplied by NE)
	c) unfavourable declining	NB	2%	2%	0% (Data supplied by NE)
S1(b)	% of SSSI land in NPA management in:	NB			100%
	a) favourable condition	NB	20%	20%	Data supplied by Natural England on 6 year rolling programme
	b) unfavourable recovering	NB	80%	80%	Data supplied by NE
	c) unfavourable declining	NB	0%	0%	Data supplied by NE
S2	Number of Listed Buildings 'at risk' conserved during the last 3 years	KM	1	1	1
S3	Number of scheduled monuments 'at high or medium risk' conserved during the last 3 years	AC	20	18	18
S4	% Length of water courses with 'high' or 'good' ecological status	NB	Data supplied by EA to Natural England - will not be available until mid-June at the earliest	Data supplied by EA to Natural England - will not be available until mid-June at the earliest	31% (Data supplied by Environment Agency)
S4	% Length of water courses with 'moderate' ecological status	NB			31% (Data supplied by Environment Agency)
S5	Populations of (i) Vigur's Eyebright, (ii) Southern Damselfly and (iii) Marsh Fritillary which have remained stable or have increased on Dartmoor, when assessed over the previous 5 years	NB	All three Stable	100% All three stable	Stable or increasing populations for all 3 species
S6	% of County Wildlife Sites in good condition	NB	89%	88%	90%
S7	a) Number of known erosion sites	RS/SB	No figures available until all surveys completed - end 2015/16	only 20 forms returned by deadline. Incomplete stats	73 sites
	b) % of known erosion sites stable or improving	RS/SB			55%
Work to support farming systems that help sustain Dartmoor					
S8	% of utilisable agricultural land in National Park under agri-environment schemes (2013/14 baseline year)	AK	57%	Total Agricultural land = 92,628ha Land with Agri-environment schemes = 55,819 ha % utilisable 60.26%	TBC

Performance Indicators 2015/16 Targets 2016/17

New Ref No.	How will we measure our achievement	Responsible Officer	Outturn		Target
			2014/15	2015/16	2016/17
Be an Excellent Organisation					
S10	% of income derived from sources other than National Park Grant	DH	24%	21%	25%
S11	% change in CO ₂ e from DNPA operations	Finance	Buildings: 119,980kg Transport: 99,284kg	Buildings: 112,522kg - 6.5% Transport: 101,356kg +2%	0%
			Total: 219,264kg	Overall: 213,876kg -2.45%	
S12	Number of working days lost due to sickness per Full Time Equivalent (FTE)	NW			
	a) including long term absence		9.19	9.78	7
	b) excluding long term absence		5.14	4.19	4
S13	% of enforcement cases resolved without the need for formal action	NS	88%	93.10%	90%
S14	% of Membership attending Authority meetings	PB	Authority: 83% Development Mgt: 88% Audit & Gov'nce: 67% Overall attendance: 84%	Authority: 81% Development Mgt: 86% Audit & Gov'nce: 78% Overall attendance: 83%	84%
S15	% of invoices paid on time	CAR	99.92%	99.92%	98%
S16	% of planning applicants satisfied with quality of the service received	SBe/Planning	Not collected	Not collected	89%
S17	% of appeals allowed against DNPA decision to refuse consent (low figure is positive)	SBe/Planning	35%	43.70%	33%
ENJOY Promote a positive experience of Dartmoor National Park for Residents and Visitors					
E1	Number of visitors to Visitor Centres at:	RD	165,817	173,426	175,000
	a) Haytor		44,010	40,804	47,000
	b) Postbridge		57,524	59,150	55,000
	c) Princetown		64,283	73,472	73,000
E2	% of total length of footpaths and other rights of way easy to use by members of the public (even though they may not follow the exact definitive line)	AW/SB	85.40%	83.40%	83%
E3	Number of visitors to the National Park	RD	2.183	To be finalised May 2016	2.25m
E4	a) Number of litter bags collected by DNPA staff or volunteers	RS/SB	651.5	704	600
	b) Cost of disposing of litter collected (includes Tavi Taskforce collection costs)	RS/SB	£21,223	£19,470	£19,545
E6	Residents' satisfaction survey		Frequency of reporting: 3 years	Not undertaken in 2015/16	Due in 2016/17

Performance Indicators 2015/16 Targets 2016/17

New Ref No.	How will we measure our achievement	Responsible Officer	Outturn		Target
			2014/15	2015/16	2016/17
E7	Vistors Satisfaction: (a) survey	RD	Frequency of reporting: 3 years	Survey to be developed	Survey completed
	(b) Trip Advisor (stars achieved)			4.5 stars	4.5
E9	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)	OR/RS/SB	547 22.8%	466 xx%	500
E10	Number of large scale organised events notified to the Authority and subsequently held on Dartmoor National Park (NB figures for large on road cycle "sportives" that we are not consulted on, are shown in brackets)	AW/SB	53 (8)	48	no target - record of trends
	number of people participating	AW/SB	10583 (5330)	11,303 (6,538)	reduce number of very large events
E11	Number of events organised by DNPA	CP	52	26	20
	a) Number of people attending	CP	493	1,326	1000
	b) % satisfied or very satisfied with the events	OR	97.40%	88.50%	90%
New Family PI	Promoting Understanding: All Parks to submit a paragraph giving a 'case study' snapshot of what has been achieved (max 150 words): 1) The strategic fit / why the work is a priority to the NPA; 2) Identify key activities undertaken; 3) Provide some qualifiable outputs; 4) Information on outcomes where ever possible	LT	Submitted to JIG via Yorkshire Dales NPA 05/04/2015	Submitted to JIG via Yorkshire Dales NPA 28/04/16	To complete and submit at year end
PROSPER Work towards ensuring Dartmoor has a thriving economy					
P1	% of planning applications dealt with in a timely manner:	SBe/Planning			
	a) major applications determined within 13 weeks *If over 13 weeks Nos of PPAs or Exts	SBe/Planning	25% *7	50% *1	60%
	b) minor applications determined within 8 weeks	SBe/Planning	75.70%	74%	65%
	c) other applications determined within 8 weeks	SBe/Planning	87%	85%	80%
P2	a) % of all planning applications determined which have been approved	SBe/Planning	86.5% (513 of 593)	88.50%	no target - success is positive decisions for Dartmoor
	b) % of pre-applications which have been dealt with within 28 days	SBe/Planning	n/a	n/a	new PI - baseline year
P3	a) Total number of volunteer days organised or supported by the NPA	NW/RS/SB	2573	1,914.75 (incomplete data)	2,600
				£75/vol day	£75/volunteer day
	b) Value (expressed in £) of volunteer days	NW/Finance	£128,650	TBC	£195,000
P4	Visitor spend in Dartmoor National Park (STEAM)	RD	£131.8m	to be finalised May 2016	£134.5m

Performance Indicators 2015/16 Targets 2016/17

New Ref No.	How will we measure our achievement	Responsible Officer	Outturn		Target
			2014/15	2015/16	2016/17
P5	Number of affordable housing units approved	DJ	17	13	30
P6	Net additional employment floor space approved	SBe/Planning	0.49841 (hectares)	0.21	n/a
P7	Premises able to access superfast broadband as a % of total premises of National Park	JR	24.4% (to mid Feb 2015)	BT superfast coverage at the end of December 2015 was 50% of premises in the National Park. A further 4% of premises could receive a significant uplift in speeds of 15 to 24Mbps	75% of Dartmoor premises by end of 2017
Improve support to and engagement with local communities					
P8	Media articles in WMN & Tindle Group [Dartmoor] papers	SH/MN	332	498	350
P9	Number of:				
	a) Followers on Social Media	SH/MN	8231	10,200	20,000
	b) Subscribers to e-communications (running total)	SH/MN	1263	1,276	2,000
	c) % opened	SH/MN	47%	44%	45%
P10	Number of unique visitors to website & page views	AB	324,424 / 2,770,279	57,086 / 2,963,30	350,000 / 3,000,000
P11	% of Parish meetings attended at least once in the year	PB	85%	91.5% (47 of 47)	86%
	Number of Parish meetings attended by:				
	a) Rangers Officers	SB/PB		41	47
	b) Members	PB	44	46	
P12	DNPA attendance at Local shows	CP			
	a) Number of shows attended	CP	17	17	17
	b) Number of contacts made	CP	1772	1,694	2000
P13	Number of parishes engaged in preparing a community led plan during the year with advice /assistance from DNPA	JR	6	8	6
(Need to colour code) P14	Donate for Dartmoor - £ for the Park [NB 2016/17 is baseline year for Donate for Dartmoor which we will develop target for 2017/18]			£6,084	11000

KEY

	this document	Auth March (NPMP ann report) & A&G in May (NPA family indicator)
	captured in NPMP indicators (delete/hide)	Auth March (NPMP annual report)
	captured in dashboard (delete / hide)	Annually to A&G in line with dashboard schedule
	this document	Annually to A&G in May
	captured in NPMP indicators (delete/hide)	Authority in March (NPMP annual report)

Performance Framework for 2016/17

Service / Authority Performance Indicators

S3	Number of scheduled monuments 'at high or medium risk' conserved during the last 3 years
S7	a) Number of known erosion sites
	b) % of known erosion sites stable or improving
S10	% of income derived from sources other than National Park Grant
S11	% change in CO2e from DNPA operations
S12	Number of working days lost due to sickness per Full Time Equivalent (FTE)
	a) including long term absence
	b) excluding long term absence
S13	% of enforcement cases resolved without the need for formal action
S14	% of Membership attending Authority meetings
S15	% of invoices paid on time
S16	% of planning applicants satisfied with quality of the service received
S17	% of appeals allowed against DNPA decision to refuse consent (low figure is positive)
E1	Number of visitors to Visitor Centres at:
	a) Haytor
	b) Postbridge
	c) Princetown
E2	% of total length of footpaths and other rights of way easy to use by members of the public (even though they may not follow the exact definitive line)
E4	a) Number of litter bags collected by DNPA staff or volunteers
	b) Cost of disposing of litter collected (includes Tavi Taskforce collection costs)
E6	Residents' satisfaction survey
E7	Visitors Satisfaction: (a) survey
	(b) Trip Advisor (stars achieved)
E9	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)
E10	Number of large scale organised events notified to the Authority and subsequently held on Dartmoor National Park (NB figures for large on road cycle "sportives" that we are not consulted on, are shown in brackets)
	number of people participating

E11	Number of events organised by DNPA
	a) Number of people attending
	b) % satisfied or very satisfied with the events
P1	% of planning applications dealt with in a timely manner:
	a) major applications determined within 13 weeks *If over 13 weeks Nos of PPAs or Exts
	b) minor applications determined within 8 weeks
	c) other applications determined within 8 weeks
P2	a) % of all planning applications determined which have been approved
	b) % of pre-applications which have been dealt with within 28 days
P3	a) Total number of volunteer days organised or supported by the NPA
	b) Value (expressed in £) of volunteer days
P5	Number of affordable housing units approved
P8	Media articles in WMN & Tindle Group [Dartmoor] papers
P9	Number of:
	a) Followers on Social Media
	b) Subscribers to e-communications (running total)
	c) % opened
P10	Number of unique visitors to website & page views
P11	% of Parish meetings attended at least once in the year
	Number of Parish meetings attended by:
	a) Rangers / Officers)
	b) Members
P12	DNPA attendance at Local shows
	a) Number of shows attended
	b) Number of contacts made
P13	Number of parishes engaged in preparing a community led plan during the year with advice /assistance from DNPA
New Family PI	Promoting Understanding: All Parks to submit a paragraph giving a 'case study' snapshot of what has been achieved (max 150 words): 1) The strategic fit / why the work is a priority to the NPA; 2) Identify key activities undertaken; 3) Provide some qualificatory outputs; 4) Information on outcomes where ever possible

Deletion proposed of the following Performance Indicators

S9	a) Number of farmers receiving training relating to agriculture and/or forestry
	b) % of farmers successfully completing training
	c) % of participants expected to apply the acquired skill(s) in practice
P2	% of all planning applications determined which have been approved
	a) % of new residential and householder approved
	b) % of non-residential approved

Proposed new Performance Indicators

P2	b) % of pre-applications which have been dealt with within 28 days
P14	Donate for Dartmoor - £ for the Park [NB 2016/17 is baseline year for Donate for Dartmoor which we will develop target for 2017/18]

National Park Management Plan Performance Indicators (previously included with Authority Performance Indicators)

S1(a)	% of SSSI land in the National Park as a whole in
	a) favourable condition
	b) unfavourable recovering
	c) unfavourable declining
S1(b)	% of SSSI land in NPA management in:
	a) favourable condition
	b) unfavourable recovering
	c) unfavourable declining
S2	Number of Listed Buildings 'at risk' conserved during the last 3 years
S3	Number of scheduled monuments 'at high or medium risk' conserved during the last 3 years
S4	% Length of water courses with 'high' or 'good' ecological status
S4	% Length of water courses with 'moderate' ecological status
S5	Populations of (i) Vigur's Eyebright, (ii) Southern Damselfly and (iii) Marsh Fritillary which have remained stable or have increased on Dartmoor, when assessed over the previous 5 years
S6	% of County Wildlife Sites in good condition
S8	% of utilisable agricultural land in National Park under agri-environment schemes (2013/14 baseline year)
E3	Number of visitors to the National Park
P4	Visitor spend in Dartmoor National Park (STEAM)

P5	Number of affordable housing units approved
P6	Net additional employment floor space approved
P7	Premises able to access superfast broadband as a % of total premises of National Park
P12	DNPA attendance at Local shows
	a) Number of shows attended
	b) Number of contacts made

Dashboards

As in 2015/16 Dashboards will continue to be presented to Audit and Governance Committee as per the ongoing programme:

May 2016: Business Support, Legal, Human Resources, Community and Economy, Hill Farm Project, Conservation Works

November 2016: Access & Recreation, Communications, Education & Outreach, Visitor Services, Rangers

February 2017: Development Management, Enforcement, Archaeology, Listed Buildings, Ecology

Business Plan Monitor

Updates to be provided to Members of Audit & Governance Committee throughout the year.

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

5 May 2016

SERVICE DASHBOARDSReport of the Head of Organisational DevelopmentRecommendation: **That Members note the contents of the report****1 Purpose of Report**

- 1.1 This is the third service dashboard report which is one component of our performance management framework.
- 1.2 The dashboards have been developed as a management tool to show how staff resources are being allocated and particularly to show trends in our reactive work, as well as highlighting key successes and pressure points.

2 Dashboards

- 2.1 The following dashboards are provided in Appendix 1:

Service	Lead Officer(s)
Business Support <i>(including ICT, Premises, Admin & Finance)</i>	Donna Healy & Ali Bright
Human Resources	Neil White
Legal & Democratic Services	Christopher Walledge
Community & Economy	Sam Hill
Conservation Works	Jon Stones

- 2.2 The lead officer will normally attend the meeting but will not present the information to Members. The expectation is that Members will have questions or observations to which the lead officer will respond.
- 2.3 Leadership Team have agreed to continue with the service dashboards in 2016/17 which it is proposed will be reported annually to Members as follows:

November meeting – Rangers; Communications; Education and Outreach; Visitor Services, Access and Recreation

February meeting - Development Management/Enforcement; Forward Planning; Archaeology; Listed Buildings; Ecology; Trees & Landscape

May meeting – Business Support; Legal, Human Resources; Community and Economy; Conservation Works

3 **Conclusion**

- 3.1 The aims of the dashboard approach are to provide Members with readily available information across all of our key services to enable performance, key achievements and pressure points to be shared, scrutinised and discussed.
- 3.2 Leadership Team and the lead officers will continue to review the dashboard approach and in particular, whether they are valued as a tool to support service review and improvement. Any comments from Members regarding the service dashboards are welcomed.

NEIL WHITE

Business Support (ICT, Premises, Admin & Finance)

2015/16	Q1	Q2	Q3	Q4
% of invoices paid on time	100%	99.84%	99.84%	100%
Number of orders processed	236	247	155	57
Number of Creditor invoices paid	608	610	630	633
Number & value of GPC transactions (net)	167 £9,225	164 £12,036	181 £10,786	180 £12,155
Number of Debtor invoices raised	37	44	34	20
Number of staff travel claims processed	95	78	76	112
Number of Member travel claims processed	10	9	11	15
Number of Sage payments (online)	106	113	98	119
Number of cash & cheque receipts processed (via HQ)	Cash – 23 Chq – 205 Total - 228	Cash – 39 Chq – 194 Total - 233	Cash – 15 Chq – 140 Total – 155	Cash – 17 Chq – 166 Total – 183
% change in CO2 from DNPA operations (% change is against same quarter previous year) Outturn: % change is against cumulative total from previous year	Buildings: 23,462kg -9.8% Transport: 25,841kg +6.5%	Buildings: 19,676kg +1.3% Transport: 25,266kg +8.6%	Buildings: 27,897kg -19.2% Transport: 24,608kg +0.2%	Buildings: 41,476kg +3.6% Transport: 25,641kg -4.8% Outturn Buildings: 112,511kg -6.5% Transport: 101,356kg +2% Overall: 213,876kg -2.46%
% of ICT help desk calls resolved in 24 Hours (out of total number received)	94.3% (out of 508)	91.5% (out of 423)	90.0% (out of 351)	91% (out of 331)
Average number of ICT help desk calls per user (FTE)	7	6	5	4
% of complete system downtime during core hours	0%	0%	0%	0.26%
% of availability of ICT helpdesk during core hours	100%	100%	100%	100%
% of availability of the DNPA website	99.93%	99.64%	98.5875%	99.4541%
% of Ordnance Survey data uploaded to the GIS within 10 working days	100%	100%	100%	100%
Number of GIS layers published as open data (i.e. useable / free data)				3 (outturn)

Key Pressure Points

- Head of Business Support not being available to provide financial support due to wider remit/role
- Year-end: major 3 month long work schedule that creates an operational backlog and limits staff from taking annual leave
- Committee cycle: monthly deadlines not adhered to by others creates pressure at the end of the process
- Not being aware of new projects at outset, resulting in last minute demands and / or action required to implement new processes (but improving)
- Minimum staffing levels across all 3 teams can result in reduced support for the organisation when team members are on leave or absent. This is being mitigated by staff cover being sought from across the organisation and staff within the team learning to cover for each other – provides resilience and development opportunities
- Inadequate ICT competency levels (other staff) impacts on demand for ICT helpdesk assistance (but improving)
- Previously experienced high staff turnover in the ICT Helpdesk role , has hopefully been resolved via a recent JE re-grade

Key Achievements

Finance and Administration

- Taken on and trained a Business Administration Apprentice, who has completed all elements of the Level 2 apprenticeship training course
- Unqualified opinion for 2014/15 Statement of Accounts (completely clean audit report)
- Project managed DM Admin Review which will result in significant process/ system improvements, release staff capacity and improve customer service
- Projects & services supported: National Park Conference, Local History days, Retail Officer, Hill Farm Project, Staff Training Day and Planning Admin
- Process amnesty / simplification e.g. inventory spreadsheet duplication removed, pool car bookings and recording simplified, procurement card reconciliation simplified

Premises

- Installation of borehole at Haytor to provide reliable free water supply, reducing costs and improving reliability
- External decorating of Parke House (north east elevation) and resurfacing of the rear courtyard
- Essential drainage works at Princetown
- Princetown Visitor Centre access improvements, including disabled access ramp and access control system; redecoration of ground floor corridors and at first floor level; installation of a power assisted door (with disabled access) from the ballroom to the conservation garden; and installation of new internal WCs
- Procurement of a new 3 year cleaning and security services contract for Parke and Princetown offices

ICT

- Completed desktop virtualisation project, resulting in significant cost savings on both hardware and support costs
- Operating systems upgrades to servers
- Development of a new system for financial reporting, cost saving on previous proprietary system
- Development of Heritage Trails web application, as part of the 'Moor than meets the eye' project
- Replacement of legacy GIS systems with open source 'QGIS' application, including training for all staff, reducing annual maintenance costs

HUMAN RESOURCES

	Q1		Q2		Q3		Q4	
Sickness days lost per FTE (all & excl. long-term) (cumulative)	8.33	3.96	8.91	3.45	10.70	3.62	9.78	4.19
No. of jobs advertised/applications received	0	0	4	102	0	0	7 (incl. 2 secondments)	37
No. of contracts of employment issued - new and revised & (secondment/additional hours agreements)	9		3		2 (7)		15(4)	
No of training days per FTE (cumulative)	1.23		2.27		3.36		4.29	
No. of volunteer, work placement and work experience enquiries handled	This data is not currently captured and we are developing a process to do so in 2016/17, in part, through volunteering research project.							
No. of formal complaints	3		3		5		3	
No. of payroll instructions issued (excl. claims)/ No. of payroll instructions issued incl. claims	48	107	26	75	32	81	22	74
No. of health and safety incidents reported	9		7		5		4	
No. of occupational health referrals	1		3		4		3	
Employee Assistance Programme usage (no.):								
Telephone counselling	0		0		6		1	
Face to face counselling	9		7		15		4	
Access to online portal	8		8		0		5	

Key Pressure Points

- The reactive nature of HR work means demand for HR support is unpredictable (e.g. unexpected disciplinary investigations, recruitment, absence / ill health situations etc.)
- Head of OD involved in HR casework and day to day HR work/management of service which is limiting time for project/development work (e.g. ODS; volunteering; apprenticeships.)
- Business Support Officer (BSO) secondment ended 31 March 2016, primarily supporting Visitor Services Manager. Some HR work previously done by BSO will revert back to HR Assistant – some knock on but manageable

Key Achievements

- Resolving complex HR cases
- Led OD Project Team to draft new OD Strategy
- New/updated HR policies (Performance Improvement; Shared Parental Leave; Maternity, Paternity and Adoption)
- Review of competency framework and updates to staff appraisal scheme
- Complaint management
- Terms and conditions review/implementation
- NPUK conference – dedicated support officer
- Success of lunch and learns & work experience
- Organised all staff training day
- HR team meeting/service review (Nov 2015) reviewed/clarified priorities, responsibilities – action plan being implemented

Legal and Democratic Services

2015/16	Q1	Q2	Q3	Q4
Development Management				
Number of PCNs / s330 notices	3	5	5	3
Enforcement Notices issued	1	2	4	3
Appeal stmts drafted or checked	3	1	2	7
Prosecutions commenced	4	2	2	0
S106 Agreements drafted	2	7	5	2
CLEUDs / CLOPUDs considered	9	4	6	4
Advocacy				
Court appearances	2	3	1	0
Inquiries / hearings	1	2	0	0
Litigation	0	2	1	0
FOIA handled by legal services	15	12	5	5
Property	0	2	1	2
PRoW & access	3	7	4	2
Governance questions or issues	3	2	3	3
Procurement & Agreements				
ITQ / ITT drafted	5	4	3	0
Contracts drafted or checked	6	3	4	2
Other partnerships / collaborations	0	1	2	1
Democratic Services				
Cttee meetings attended by lawyer	7	7	6	6
Cttee meetings observed by Ind Person	7	2	4	4
Member briefings / training	1	1	0	0
Complaints requiring input	3	1	1	1

Key Pressure Points

- Unplanned demand (esp. last minute / rush on procurement & contracts)
- Appeal work & prosecutions – can be very time consuming and time critical

Key Achievements

- **93%** of work completed within target timescales (internal performance standard)
- **100%** attendance by a lawyer at DM and Authority meetings to date in 2016
- Dealing effectively in-house with issues in Yennadon & Linhay minerals applications
- Managing Steward Wood appeal process towards the public inquiry in April
- No awards of costs against the Authority for unreasonable behaviour in enforcement appeals

COMMUNITY & ECONOMY

	Q1	Q2	Q3	Q4
Parish Link/community meetings attended	1	4	3	
Broadband contract for Dartmoor and Exmoor with Airband	Contract signed, inception meeting planned	Inception meeting, members & PC briefing, comms plan & site info to inform pre planning discussions	Programme of 7 Community evening meetings held around DNP with estimated attendance of around 300.	PP granted for 11 sites, none refused, 3 outstanding and approx. another 7 to be submitted. A number of issues including wholesale platform, £ installation, coverage still outstanding, Comms programme being developed
GD LEAF – share agreed partnership performance			Defra induced delay continued, fund now open to apps at end of year with very soft launch, appraiser training planned for early Jan and first decisions expected Feb 2016	Fund open, 3 schemes approved including 1 within DNP, 5 to be considered at April meeting with 3 within DNP. All proposals falling within DNP area to date have food/drink focus.
No. of Communities Fund applications received 2015/16	Opens Q3	Opens Q3	15	15
Communities 2014/15 Fund completed projects	(10)	9 (10)	9 (10)	9 (10)

Key Pressure Points

- Level of involvement on Broadband has impact on Communities Officer workload. Considerable support required to steer course through PA process. In addition CDS and Airband capacity is stretched and opportunities are being missed. Continued engagement will be required to maximise benefit and take up on Dartmoor.
- Complex partnership arrangements restrict ability to respond quickly to some Comms opportunities
- GD LEAF spending now but considerable pressure to commit spend in tight timescale resulting from DEFRA induced delay.

Key Achievements

- Separate contract for Dartmoor and Exmoor broadband roll-out agreed, while CDS next phase is put back out to tender. While currently project is suffering delay, the significant front loading and our position as first area to be delivered means we should still be on track to achieve delivery on target.
- Good working relationship sustained with Airband and CDS team aiding project progress
- Countryside Fund bid submitted to support additional business support and mentoring for NP's to be delivered by Cosmic
- District Council support of £75k + secured for Dartmoor Communities Fund 2016/17

CONSERVATION WORKS

Man days	Q1	Q2	Q3	Q4
Management of property: Parke		10	27	10
Duchy Hotel	82	54	12	4
Postbridge		1	2	1
Haytor	12	0.5		2
Depot	14	17.5	30	16
Ranger Store				2
Higher Uppacott		56.5	4	25
Statutory maintenance and testing / servicing	6	6	21	22.5
Toilets – maintenance, repairs	7	1.5	8	3.5
Toilets - cleaning	76	92	93	91
Woodlands and Estates – boundary maintenance, fallen/dangerous tree removal	4	4	17	5
Woodland and Estates – maintenance of rides and other areas	16.5		31	10
Grass cutting and grounds maintenance:				
Parke	42	40	2	26
Meldon	2	6	0	0
Princetown	6	12	2	0
Postbridge	2	6	1	0
Dartmeet	4	3	0	0
Brentor	1	2	0	0
Haytor	4	3	1	0
Boundary stones	1.5	1.5	2	0
Projects:				
Car parks		2	21	19
Archaeology	13	3.5	9	2
Ecology			8	1
PRoW		2.5	1	2
Pool Vehicles	11	5	3	21
Visitor Services	2		0	32.5
Rangers		2	11	2
Education and outreach		1	1	1
Hill Farm Project			2	0

Conference			3	
Bench for Charles			7	
MTMTE			7	

Maintenance of Information Centres and Interpretation	0	0	4	16
Bus Stops	8	0	2	1.5
Information Boards	6	0	2	6
Information Centres Publications and Deliveries	2	0.75	2	2
TOTAL MAN-DAYS AVAILABLE (note Q3 has fewer man days available due to Christmas shut down period)	414.5	414.5	401.5	401

Key Pressure Points

- The team have suffered from cases of long term sickness over the year which has been covered by Agency staff. This has enabled the team to function.
- Good news Dan Davey promoted from CWT (Trainee) to CWT (Works) as of 1st April 2016 this leaves CWT (Works) post and a CWT (Apprentice) post vacant under the current structure.

Key Achievements

- Various works for archaeology completed.
- PVC toilets completed eventually
- Welcome stone completed and in place at Princetown
- On- going landscape role at Hawns and Dendles large quantity of regenerating Sitka felled to waste and firebreaks/pony access tracks & rides cut.
- Charles Waring Memorial bench with paved area installed at Parke
- Stone removed from White horse hill and used to constructed wall at Hangingstone hill with archaeologists to protect cairn.
- Ranger and Education storage containers installed and fitted out at depot.
- MTMTE Poundsgate pound wall rebuilt and vegetation removed.
- Higher Uppacott Works progressing well with CWS heavily involved in renovation works.
- Granite curiosities and benches for the Jack Wigmore garden made and installed.
- Damage to Dunnabridge car park repaired and boulders installed.
- Drainage maintenance undertaken at Postbridge.

- Large number of trees blown down with those blocking tracks or around DNPA buildings removed.
- Improvements to storage of machinery at the Station Yard Depot.
- Ranger store structural defects repaired at Postbridge.
- Renovation works completed at PVC ballroom, removal of old interpretation and installation of new interpretation in PVC room2.
- Visitor centre maintenance works completed during shut down week.
- Quinquennial survey works completed at Parke.
- Pot holes filled in car parks at Brentor, Lydford, Steps Bridge Princetown (approach road) etc.
- Water hygiene works as identified by risk assessment completed at all sites.
- All wooden information boards repainted and defects repaired.
- Money cairn installed at Shipley Bridge for SHDC.
- Snow gates installed at Princetown car park and damage to banks repaired.
- Assistance to MTMTE projects across the project area.

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 May 2016

2016/17 STRATEGIC RISK REGISTERReport of the Head of Organisational Development

Recommendation: That Members approve the updated Strategic Risk Register for 2016/17 attached at Appendix 1

1 Background

- 1.1 The Strategic Risk Register forms part of the Authority's overall risk management strategy.
- 1.2 It is commonly perceived that risk management is about producing risk registers and can be seen as bureaucratic. The formal recording of risk management information is clearly important, but equally important are the discussions and dialogues that take place about identifying and managing risks across all areas – from the individual to the organisational.

2 Monitoring and Reporting Framework

- 2.1 As part of the risk management strategy it is important that Members review the strategic risks for the Authority in order to raise issues for further consideration and highlight possible areas of risk for addition or deletion.
- 2.2 Appendix 1 contains a copy of the Strategic Risk Register for 2016/17 for comment and approval. The risk management process requires us to:
 - identify, assess and record Strategic Risks (by staff, managers, Leadership Team and Members)
 - determine the consequences of not taking any action to manage / mitigate those risks
 - record current control measures that are in place to manage the risk and provide a "Current Residual Risk Rating"
 - identify additional control measures that can be implemented, along with any resources that might be required
 - re-evaluate and re-score the risk to demonstrate the anticipated "Planned Residual Risk Rating" (i.e. if the additional control measures are implemented)
- 2.3 The risk ratings (current and planned) are scored and colour coded as follows:
 - 0 – 9 = Green – risk accepted;
 - 10 – 19 = Yellow - needs attention;
 - 20 – 25 = Red – cause for concern

- 2.4 Leadership Team monitor the Strategic Risk Register on a quarterly basis and have recently reviewed and updated the Register in light of changing circumstances (e.g. National Park Grant position) so we are clear about potential risks and how we might mitigate these.
- 2.5 Members are invited to discuss and approve the register, subject to any amendments Members may wish to make.
- 2.6 The Strategic Risk Register is reported to this Committee in May and November each year.

NEIL WHITE

Background Papers: NPA/AG/15/009

Attachments: Appendix 1 – 2016/17 Strategic Risk Register

20160506 NW Strategic Risk Register

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P1	Ineffective internal communication				
	<p>Consequence if no action</p> <p>Lack of understanding of objectives, targets, priorities, issues and challenges Dis-engaged staff create a poor impression of DNPA when in-contact with the public and our stakeholders</p>	<p>Leadership Team meets every Monday morning for a quick communication catch up. Messages are then disseminated as appropriate. Key messages are reported in regular 'In Touch' newsletter, supplemented by specific newsletters as required. Monday Message is a regular communication tool from Chief Executive to all staff and Members "Golden thread" linking Management Plan and Business Plan with individual appraisals & 1:1s. Annual all staff training day. Regular service and team meetings 'Time Well Spent' middle managers meeting Intranet & website Regular briefings to Members and two officer/Member working panels</p>	2	4	8
Additional control measures planned					
<p>Organisational Development Strategy "Developing Team Dartmoor" has a specific focus on improving internal communication and employee engagement. Communication methods constantly reviewed and mixture of written and face to face utilised. NPAPA assessment emphasised the need to "close the loop" and provide feedback on decisions taken and why. Leadership Team will keep a focus on this issue.</p>					
Resources required: Staff & Member time is needed to participate fully					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	4	4
Outcome					
<p>Ensure staff are able to contribute and feel valued Staff and members are ambassadors for the organisation Promote full understanding and ownership of the Authority's work, priorities and change agenda Develop a better understanding of the Authority and its work</p>					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P2	Inadequate external communication and community engagement				
	<p>Consequence if no action</p> <p>Damage to reputation. Poor support from community, business & stakeholders Lack of understanding of the value of DNPA and the work it does Confusion with other organisations Projects not supported as no 'buy-in' from stakeholders</p>	<p>Communications strategy agreed and being implemented; picks up organisational 'narrative' and plan to deliver improved two-way communications with our key audiences. Supporting communication tools include: Media briefings & releases. Authority publications. Authority Website Variety of forums Social media and targeted e-newsletters Surveys</p>	3	3	9
Additional control measures planned					
<p>Communications & Community engagement are priorities for the Authority. A communications strategy has been developed to address a clearer, more strategic approach to organisational communications as well as supporting staff and members to engage in two-way communications with their key audiences. This will be implemented over the next two years. NPAPA assessment recommended utilisation of multiple media avenues to reach maximum audience. This is being implemented. Residents' survey undertaken in 2013 (to be repeated in 2016/17) and outcomes have been used to improve communication with local communities. Increased presence at Parish meetings and local special interest groups.</p>					
Resources required: Staff time will be needed to communicate and engage with local residents and prepare materials					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<p>A greater understanding of what DNPA does in relation to Dartmoor the place, so people value and support the work we do A good reputation as an organisation that listens and understands Excellent relationships with our communities and stakeholders Promoting understanding and enjoyment of Dartmoor's special qualities Ensure staff are able to contribute and feel valued</p>					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P3	Inadequate Information Management and Information Technology System failure. Inadequate Business Continuity Planning.				
	Consequence if no action Non compliance with legislation. Inability to provide core services. Loss of reputation. Impact on service delivery. Breakdown of communication. Delays/failure to update records.	ICT software and data backed up and stored off-site. DMS implementation. Disaster Recovery Plan in place, and critical elements tested Alternate venues/home working available in the event of loss of office accommodation Virtualised desktops speed up recovery times	2	3	6
Additional control measures planned					
Disaster recovery plan revised following implementation of server virtualization IDOX project to scan central filing system has been introduced and will improve access and reduce risk of loss of data					
Resources required Head of ICT & Premises					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	2	4
Outcome Continuous business efficiency in the event of systems failure or major emergency affecting operational buildings					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P4	Inadequate focus on Performance Management (including customer service)				
	<p>Consequence if no action</p> <p>Individual and organisational performance not monitored. Low achieving Authority Unclear targets and objectives. Resources not targeted</p> <p>Reputational risk for the Authority.</p> <p>More complaints.</p>	<p>Business Plan & Annual Review Organisational Development Strategy Service planning Audit & Governance Committee with clear remit to monitor and challenge performance. New suite of PIs introduced to provide greater range that are focused on delivering against the Business Plan Parke House Project Management introduced, supported by "Project Makers" and staff trained maintaining focus on effective project management Reviewed how Audit & Governance Committee operates. Implemented new process for monitoring of key actions in the Business Plan. Revised how we report performance to Leadership Team and Audit & Governance 2015/16 - ongoing. Agreed new Performance Improvement Policy</p>	3	3	9
Additional control measures planned					
Key theme of the Organisational Development Strategy is to be a high performing organisation Training for Audit & Governance Members planned					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
Good performing organisation, with evidence of continuous improvement					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P5	Lack of support and resources from partners and stakeholders to deliver on the actions in the Management Plan				
	<p>Consequence if no action</p> <p>Management Plan actions not undertaken</p> <p>Ambitions not delivered</p>	<p>Extensive engagement with partners and stakeholders in development of the revised NPMP</p> <p>Pre-consultation to ensure partners are agreeable with actions and nominated lead organisation</p> <p>Revised Delivery Board</p> <p>Actions plans are reviewed and revised annually to take into consideration changes circumstances/ resources</p> <p>Progress is monitored via a system of steering groups for each theme (with a wide membership) and an overarching Delivery Board comprising key stakeholders engaged in project delivery.</p>	2	4	8
Additional control measures planned					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
<p>Clear agreed vision for the National Park</p> <p>Actions to achieve the Vision shared and owned by delivery partners</p> <p>Clear process for monitoring delivery and assessing progress towards the Vision</p>					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P6	Failure to determine major planning applications within the set Government target of 13 weeks				
	<p>Consequence if no action</p> <p>Authorities who 'poorly' perform over a 2 year period may be subject to special measures. The risk is therefore that the Authority could lose its ability to deal with applications resulting in a loss of income and reputation</p>	<p>Planning Performance Agreements (PPA) are in place which are a 'contract' between the planning authority and the developer in how their application will be dealt with including timescales.</p> <p>All such applications which are subject to a PPA do not have to be identified under the government speed targets and can be reported separately.</p> <p>Ongoing monitoring of the effectiveness of this control mechanism.</p> <p>Planners need to be realistic about time scale on framework, particularly if legal work is required.</p>	1	4	4
Additional control measures planned					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	4	4
Outcome					
Major applications are dealt with in a timely way The performance agreement will allow time to be taken to achieve a quality outcome					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S1	Failure to implement a robust culture of risk assessment and risk management.				
	<p>Consequence if no action Disruption to service delivery. Waste of financial resources as number and cost of losses escalate. Increasing cost or unavailability of insurance cover. Critical reports by external audit. Increase likelihood of major loss/incident. Loss of reputation.</p>	Risk Management Strategy Risks monitored by A&G Committee. Corporate Risk Management Steering Group (Leadership Team). Operational Risk Management via work programmes/projects Risk based audit (internal and external). Annual Governance Statement, following review of all governance arrangements. Health, Safety & Wellbeing Committee SLA with Teignbridge DC continued for 2016/17 to support provision of robust health and safety risk assessment process and culture and health and safety management advice at an operational level. Risk assessment training provided regularly to relevant officers and further training available.	2	3	6
Additional control measures planned					
Resources required: None					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome Risk based approach embedded in culture of the organisation. All risks effectively managed.					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S2	Emergencies affecting land or buildings owned or leased by DNPA or operational activity				
	<p>Consequence if no action</p> <p>Incidents such as flooding, storms, fire, which could disrupt the business of the Authority.</p> <p>Possible restrictions on access imposed as a result of outbreaks of disease.</p> <p>Denial of access to key premises resulting in major disruption to service delivery.</p> <p>Financial – increased cost of provision of alternative working locations.</p>	<p>Emergency Planning.</p> <p>Close working relationship with police and other emergency services</p> <p>Staff awareness training (induction training).</p> <p>ICT Disaster Recovery plan H&S and Fire Regulations</p> <p>Alternate venues/home working available in the event of loss of office accommodation.</p> <p>Robust maintenance programme and risk assessments for operational property</p>	2	4	8
Additional control measures planned					
This is a risk which it is difficult to control, but is considered relatively low risk					
Ongoing IDOX project to scan central filing system is improving access and reducing risk of loss of data					
Resources required:					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
Business continuity in the event of an emergency affecting business premises					
Effective and appropriate use of DNPA's resources in other emergencies affecting the National Park					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S3	Managing officer workload. Following a period of deep financial cuts and reduced staff capacity our challenge is to ensure we set realistic work programmes but also improve the organisation's 'productivity'				
	<p>Consequence if no action</p> <p>Failure to deliver corporate objectives. High stress levels and staff absence. Targets/improvement not achieved Staff unclear of roles & responsibilities in new structure</p>	<p>HR Policies</p> <p>Business Plan, Appraisal and review process – identifying clear priorities and work programmes for individuals, teams and the Authority as a whole – through manager and staff engagement.</p> <p>Interpretation of the Organisational Development Strategy.</p> <p>Good internal communications/staff survey/feedback channels/liaison with representatives.</p> <p>Support to Managers and focus on developing management skills</p> <p>Proactive attendance management; provision of Employee Assistance Programme; OH service</p> <p>Quarterly review and discussion at LT (led by Head of OD) of 'temperature' of the organisation, identifying any pressure points (e.g. impact of long-term sickness absence) and where additional support may be required.</p> <p>Provision of the Project fund within the budget to enable Officers to make in-year bids for to buy-in additional resource.</p>	3	5	15
Additional control measures planned					
Following funding settlement to 2019/20 continue to demonstrate value of National Parks to deliver against Government priorities (e.g. 8-Point Plan for Englands National Parks and the 25year Environment Strategy)					
Business Plan contains clear key actions which will be monitored.					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Resources required: Staff time and resources to deliver an effective programme. May need external support – can be funded via the Project Fund			
Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	3	5	15
Outcome Well informed, motivated workforce Effective leadership Appropriately supported and trained staff			

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S4	Workforce planning/resilience: limited capacity to cover for absences and deliver outcomes.				
	<p>Consequence if no action</p> <p>High stress levels Reduced productivity/delivery Poor performance Increase in complaints Reduced quality of work Contracts and obligations not fulfilled</p>	<p>Active staff management and support through a mixture of:</p> <ul style="list-style-type: none"> • Clear priorities through the Business Plan and appraisal process • Appraisal system • Project Fund • Staff support e.g., Occupational Health, EAP; counselling etc. • Increased joint working with other Local Authorities and partners • SLAs in place (legal, finance, ICT) 	5	5	25
Additional control measures planned					
This will remain an area of high risk given the size and scope of our organisation and operations. Senior Officers, service managers, project officers and specialist staff are fundamental to our performance and success as an Authority, therefore any significant absences can have a real impact on delivery.					
Resources required: Staff time and resources to deliver an effective programme. May need external support					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			4	5	20
Outcome					
Well informed, motivated workforce Effective leadership Appropriately supported and trained staff					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S5	Superfast Broadband Project (Connecting Dartmoor & Exmoor NPAs) – risks associated with project for DNPA				
	<p>Consequence if no action</p> <p>Staff capacity to manage planning applications</p> <p>Planning application sites not in keeping with policy, local opposition and potential for DNPA to refuse – project delayed</p> <p>Reputational risk arising from DNPA seen to be preventing project progress</p> <p>Financial loss if project not delivered: £65k match funding committed</p>	<p>Additional capacity agreed for Planning Admin Identified Planning Team Manager to lead</p> <p>Effective communications strategy/plan Pre-application site visits and advice</p> <p>Effective communications strategy/plan</p>	2	5	10
Additional control measures planned					
Effective project management (Red) - regular updates to Leadership Team throughout					
Resources required: Staff time to manage project (Communities Officer) and process planning applications					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
Project delivered on time with effective communications to all stakeholders throughout					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F1	Potential for further reductions in National Park Grant (NPG) (after 2019/20) which is still our main source of income				
	<p>Consequence if no action</p> <p>Insufficient funds to meet statutory requirements and delivery of National Park Purposes. Failure to meet Performance Targets</p>	<p>Authority has set a balanced budget for 2016/17 and will build a new 3 year MTFP now that Defra has confirmed the level of NPG up to 2019/20. Ongoing workforce and resource planning to match revenue and resources to deliver outcomes Developing new strategies and ideas to generate other income streams, to reduce reliance on NPG</p>	4	5	20
Additional control measures planned					
<p>Scenario planning as to how we may respond to further reductions in NPG in addition to considering alternative sources of funding. Robust level of reserves which can be used to balance the future budgets. Including an earmarked reserve set aside for "Invest to save and income generating" projects Seek opportunities for alternative funding streams, fees, charges and sponsorship and alternative delivery methods and partnership working. Work with National Parks Partnerships LLP to generate new income streams / contributions to support National Park Purposes</p>					
Resources required: Officer time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			4	4	16
Outcome					
<p>Focused organisation with resources targeted to agreed priorities Reduced reliance on NPG</p>					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F2	Inadequate financial management				
	Consequence if no action Unfunded budget variance. Under spend of core grant Reputational damage	Budget monitoring process. Devolved budgets with clear accountability supported by timely and accurate financial reporting Quarterly reports to Leadership Team & A&G Committee Training for staff in financial management	2	4	8
Additional control measures planned					
On-going training for staff in financial management					
Capacity issues are recognised and extra support is brought in to progress work programmes					
Resources required: Staff time and training resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	4	4
Outcome					
Financial outturn on target					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F3	Appeals, Public Enquiries and enforcement action could expose the Authority to considerable financial risks and create poor PR				
	<p>Consequence if no action</p> <p>Bad decisions that damage Dartmoor Significant budget overspend Loss of public confidence Poor PR</p>	<p>Legal services review all appeal files External legal advice and support obtained where necessary Priority area of work for legal team and development management team Regular reports to Head of Planning Good Practice Guide for Members and officers (planning) Enforcement Policy</p>	2	4	8
Additional control measures planned					
Procure expert input when necessary Clear project management arrangements for high profile cases Clear operational procedures to support Enforcement Policy					
Resources required: Staff time and financial resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
All decisions are lawful, in accordance with advice and can be supported on appeal Public confidence in decisions Minimise payment of costs					

Risk Category : FINANCE

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F4	<i>Moor than meets the eye</i> Heritage Lottery Fund Landscape Partnership Scheme: risk to the Authority as lead partners regarding cashflow and reputation				
	<p>Consequence if no action</p> <p>Reputational damage if the scheme is not delivered on time and to budget</p> <p>Potential cashflow issues for the Authority if the scheme is not delivered on time and to budget</p> <p>Reputational issues for the Authority as lead partners if local community not engaged and supportive of all projects</p>	<p>Scheme Manager appointed with strong project management experience.</p> <p>Continued dialogue through quarterly monitoring meetings with Community Stakeholders Group, Landscape Partnership Board, HLF and project Leads to share Scheme, Project and risk management</p> <p>Agreed Communications Strategy and Plan implemented and reviewed yearly.</p> <p>Some slippage is likely over the 5 year period, need to ensure implications are discussed and revisions agreed with Board and partners.</p> <p>Quarterly Landscape Partnership Board, HLF Monitoring and budget monitoring with DNPA Head of Business Support meetings. Detailed performance reports in May to Audit & Governance Committee and yearly review to Authority in December</p>	3	5	15
Additional control measures planned					
Scheme Manager to focus on strategic delivery of the Scheme – to include finance and performance management. Changes and risk to delivery identified early. Risk to be continually monitored. Role of Landscape Partnership Scheme Board is strategic.					
Resources required: Staff time and financial resources					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	4	8
Outcome Prompt action when slippage or new risk identified resulting in successful delivery of the scheme.			

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G1	Fraud & Corruption				
	<p>Consequence if no action</p> <p>Misappropriation of Authority resources (not always financial)</p>	<p>Financial Regulations. Standing Orders. Prosecution deterrent. Internal checks / controls. Scheme of delegation. Internal / External Audit. Whistle-blowing Policy. Bank Reconciliation. IT Firewall. IT security / passwords. Anti-fraud & corruption policy in place. Information security policy</p>	1	2	2
Additional control measures planned					
Risks monitored especially during financially difficult times					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	2	2
Outcome					
Staff aware of risks and controls regarding fraud & corruption					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G2	Inadequate procurement practice				
	<p>Consequence if no action</p> <p>Failure of partners/contractors Schemes not delivered on time or over budget. Damage to reputation. Value for Money not achieved Sustainability principles not applied Procurement rules not followed providing opportunity for challenge</p>	<p>Member of Devon & Cornwall Procurement Partnership. Financial appraisal. Risk Assessments. OJEC/Tender process. Contract conditions. Contract management Contractor Vetting Insurance Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Staff training on procurement rules and procedures Project Management Training</p>	2	3	6
Additional control measures planned					
On-going staff training on procurement rules and procedures and project management					
Resources required					
Staff time and potentially resources if purchasing is to adopt more sustainable principles					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
All procurement undertaken within policies, procedures & legislation					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G3	Inadequate management of partnerships and projects				
	<p>Consequence if no action Failure to meet DNPA objectives. Inadequate SLAs and potentially poor performance, service failure & reputational damage. Inadequate contract conditions/ management structure & dispute resolution process. Failure of partnership arrangement. Financial over-commitment by the Authority due to unpaid grant claims.</p>	Risk Assessments. Standing Orders. Financial Regulations. Internal/External Audit. External partners' controls Parke House Project Management implemented, supported by Project makers to ensure it is part of the culture of the organisation. Embedded link between project management and personal performance management via appraisals, work plans and the Business Plan. Performance monitoring - Business Plan.	3	4	12
Additional control measures planned					
Ongoing monitoring of compliance with procedures and staff training.					
Resources required: Staff time, particularly from Legal and Financial services and "Project Makers" (project management champions)					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome Robust, well managed partnerships and projects that help to deliver Business Plan and National Park Management Plan objectives					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G4	Inadequate decision making process; inadequately documented decision making process				
	<p>Consequence if no action</p> <p>Financial cost. Judicial reviews/Legal challenges. Loss of reputation. Demands on legal service time High level of complaints/appeals Information Commissioner adverse finding</p>	<p>Complaints procedures. Ombudsman. Legal process. Authority policy of open & honest response to complaints. Standing Orders Rules & Procedures in relation to decision making. Publications Scheme (FOI) Recording in writing of decisions undertaken under delegated powers Written advice about recording key decisions and process established</p>	2	3	6
Additional control measures planned					
Ongoing training for staff and Members					
Resources required: Staff & member time and training resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
Low level of complaints, appeals & legal challenge					

Red = Cause for Concern – scores 20-25

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G5	Changes in legislation/failure to implement new legislation or policy				
	<p>Consequence if no action</p> <p>Financial cost/budget difficulties. Requirement to revise working practices or introduce new systems. Potential compliance difficulties. Financial impact if the Authority cannot effectively respond promptly</p>	<p>The National Park Authorities ' Legalnet', South West Employers (HR) Xpert HR online subscription Technical Support subscription (Finance) On-line legislation support (Legal) Various on-line alerts Up-dates and policy work via National Parks England</p>	2	3	6
Additional control measures planned					
Various legislation relating to planning to be monitored closely by Head of Planning					
Resources required: Staff time with a plethora of legislation and consultations being issued					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
Legally compliant with no challenges through Judicial Review					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY

6 May 2016

AUDIT AND GOVERNANCE COMMITTEE

ICT SERVICE EFFICIENCIES

Report of the Head of ICT & Premises

Recommendation : **That Members note the efficiency improvements made by the ICT Service in the past 12 months**

1 Purpose of the Report

1.1 This report provides Members with an overview of efficiency improvements made by the ICT Service over the past twelve months.

2 Key achievements in 2015/16

Completion of Desktop Virtualisation Project

2.1 Desktop virtualisation enables an organisation to reduce the costs associated with its desktop PCs, both by replacing traditional PCs with low-cost thin clients, but also by significantly reducing the management overhead associated with maintaining a large number of computers. Appendix 1 provides additional background information on desktop virtualisation which was presented to Leadership Team as part of the initial business case for the project.

2.2 The project was carried out over three years, starting with the Planning Directorate in the first year, followed by Conservation and Communities Directorate the year after, and the remainder of the organisation in last financial year.

2.3 67 thin client computers have been installed replacing a mixture of traditional desktop and laptop computers saving over £25,000 on hardware replacement costs alone.

2.4 The amount of energy required to power the Authority's computers has been reduced significantly as a thin client uses around 70% less than a traditional laptop or desktop computer, helping reduce the organisation's carbon footprint.

2.5 The Desktop Virtualisation project is also significantly improving the functionality available to staff when working at home, by providing them with access to the same desktop (including all the same software and systems) that they would normally have access to at their desk.

2.6 The most significant savings associated with this project have been in the amount staff time required to manage and maintain the desktop computers. Two examples of this would be, a) the amount of time to install a new desktop computer used to take around two hours, which can now be done in just a few minutes, and b) installing

software upgrades, which in some cases used to mean going to each computer individually taking many days, can now be done by installing once to a single machine and then replicating automatically to the thin clients overnight.

Replacing GIS systems with open source alternative

- 2.7 For many years we have been using MapInfo and ProPrinter to provide our digital mapping systems, both of which attract annual maintenance costs. Open source system 'QGIS' was identified as the preferred system, and has now been installed on all of our workstations. A programme of user training was developed and delivered to the majority of staff, which has made digital mapping more accessible to staff, whilst reducing the costs associated with software licenses.

Server upgrades

- 2.8 During the past year Microsoft ceased providing support and security updates for the Windows operating systems used on some of the servers that host our various office business systems. A programme of work was undertaken last year to upgrade the affected servers to the latest version of the Windows operating system, with the majority of the work being undertaken outside office hours to minimise disruption to staff and the public.

New Aerial Photography

- 2.9 During the past year we have procured new Aerial Photography covering the whole of the National Park area, which was flown in the summer of 2015. This new dataset has been installed and is now available to all staff through the new open source GIS system, QGIS. Aerial Photography is used to support much of the work of the organisation, including Ecology, Archaeology, Development Management and Enforcement to mention just a few.

3 Other efficiencies

- 3.1 Alongside the projects mentioned above and other programmed works, we have continued to concentrate on looking for opportunities to generate efficiencies. This has included cost savings, through joint procurement with partners; renegotiating maintenance contracts; purchasing new systems with lower life cycle costs; and developing systems in-house.
- 3.2 At the beginning of the financial year we entered into a new contract for the provision of telephone calls, lines and broadband services following a comprehensive tender process. A new supplier was selected for the coming three years. As a result of this new contract the costs the Authority pays for all its telephone calls was reduced by over 50%, saving approximately £3,500 over the life of the contract.

4 Financial Implications

- 4.1 There are no future direct financial costs arising from this report. All costs associated with ICT projects have been met within the approved budget. On-going efficiencies and financial savings have been highlighted in the report.

5 Equality and Sustainability Impact

- 5.1 The Authority seeks to treat all people equally, honestly and fairly in any, or all of its business activity, including partners, visitors, suppliers, contractors and service users. There are no specific issues arising from this report.

ALI BRIGHT

Background Information on Desktop Virtualisation presented to Leadership Team in 2011

What is Desktop Virtualisation?

Desktop Virtualisation, (like Server Virtualisation), is a technology which enables an organisation to run many virtual desktops on a few powerful centrally managed servers. All of the processing, memory and data storage which would traditionally be carried out by the many desktop computers in the organisation is carried out on the central servers and the output is delivered back to the user via a significantly cheaper device on their desk.

What are the main advantages of this approach?

- simpler provisioning of new desktops
- reduced downtime in the event of server or client hardware-failures
- lower cost of deploying new applications
- desktop image-management capabilities
- longer refresh cycle for client desktop infrastructure
- secure remote access to an enterprise desktop environment
- lower energy costs (approximately two-thirds reduction)

and the disadvantages ...

- potential security risks if the network is not properly managed
- challenges in setting up and maintaining drivers for printers and other peripherals
- difficulty in running certain complex applications (such as multimedia)
- requires reliable high speed internal data network
- reliance on connectivity to corporate or public network for remote access/homeworking
- complexity and high costs of initial setup

Why are we considering this for DNPA?

There are three main reasons for considering Desktop Virtualisation at DNPA.

The first is cost. Our current desktop inventory consists of 74 desktop computers, 18 laptops and another 23 laptops with docking stations. These are all replaced every five years at a current cost of around £65,000. If these were replaced with thin client devices the cost (to purchase just the thin clients) would be around £13,500. However, the life of a thin client is estimated to be around 2-4 years longer than a traditional desktop, so over 7-8 years this could save in the region of £80,000.

The second is the savings in staff time, (within the ICT service), which would result. Deploying a new virtual desktop takes minutes instead of hours, and installing new software (for example, a new version of the office suite) can be done once to a template and then automatically rolled out across the whole domain, instead of

having to go around all the machines with a CD. With the departure of a team member, and recent plans to include extra duties in the role of the Head of Service, we have been finding it increasingly difficult to cope with the current workload. Efficiencies brought about by Desktop Virtualisation will help offset some of this.

The final main reason is improved access for remote sites and homeworkers. The current setup using Remote Desktop/Terminal Services at Princetown, Haytor, Postbridge and Station Yard is particularly slow when users are trying to access applications which use a lot of graphics, in particular the internet. Hill Farm Project staff recently commented that they try not to use the internet at work as it is almost unusable sometimes. Trials of Desktop Virtualisation using a development environment have shown that this would be significantly improved. Access for homeworkers would also be significantly improved, partly for the same reason, but also because the homeworker would effectively be running exactly the same desktop at home, as they do in the office, therefore the end user experience would be the same.

DARTMOOR NATIONAL PARK AUTHORITY

6 May 2016

MOOR THAN MEETS THE EYE (*MTMTE*) LANDSCAPE PARTNERSHIP SCHEMEReport of the Moor Than Meets the Eye Scheme ManagerRecommendation: **That Members:**

- (i) Note progress to 29 February 2016 (end of HLF Y2Q2)**
- (ii) Note the need to make provision in the Authority's Medium Term Financial Plan to deal with the current forecast cashflow shortfall at the end of the Scheme**

1 Background

- 1.1 The Heritage Lottery Fund (HLF) granted Permission to Start on 18 August 2014 following the *Moor than meets the eye (MTMTE)* Landscape Partnership Scheme's (the Scheme) successful Round 2 application to the HLF Landscape Partnership Programme grant fund. This triggered the transition from the 'Development' to the 'Delivery' Stage.
- 1.2 The Scheme's Partners are:
 - Dartmoor National Park Authority (DNPA) as 'Lead Partner' for *MTMTE*
 - Dartmoor Commoners' Council
 - Dartmoor Farmers' Association
 - Dartmoor Preservation Association
 - Devon County Council
 - Duchy of Cornwall
 - English Heritage
 - Natural England
 - Royal Society for the Protection of Birds
 - South West Lakes Trust
 - Visit Dartmoor, and
 - Woodland Trust.
- 1.3 Representatives from these Partners form the Landscape Partnership Board (the Board) and provide strategic oversight and direction for the Scheme and the *MTMTE* Staff Team.
- 1.4 The Scheme consists of 34 coordinated and linked projects (the Projects) to deliver a set of HLF 'Approved Purposes' and outcomes:
 - To conserve the unique historic landscape of East Dartmoor and its natural habitats which tell the story of human influence over thousands of years;

- To significantly enhance physical and intellectual access to the heritage landscape;
- To develop new ways to increase community involvement and understanding of the historic and natural landscape and improve the ability of local people to share, celebrate and enjoy their local landscape;
- To provide local communities, businesses, land managers, guides and local property owners with enhanced skills, confidence and enthusiasm to contribute to the conservation of our built and natural heritage;
- To sustain a living and working landscape by encouraging and facilitating business opportunities that capture the value of the landscape; and
- To develop a well-trained and co-ordinated volunteer workforce to help conserve and interpret the area's heritage.

1.5 The Projects vary in duration but all must be delivered by Scheme completion on 17 August 2019 (five years after the Permission to Start).

1.6 HLF has granted up to £1.9m towards the Scheme's total budget of £3,843,182 giving an Intervention Rate of 49.4%. The remaining funding comes from the *MTMTE* Partners and together forms a single, 'Common Fund' used to manage Project cashflow and overall Scheme delivery.

1.7 Projects are led and managed by 'Project Leads' from a mix of partners including Landscape Partnership Partner staff, voluntary organisations, community groups, volunteers and private individuals. These are supported by the *MTMTE* Staff Team who help guide, support and offer specialist advice to deliver the Projects.

1.8 The Projects' indicative status at 29 February 2016 (HLF Year 2 Quarter 2 end) is shown by the Red/Amber/Green traffic light system summary in **Appendix 1**.

1.9 As lead partner, DNPA is responsible for the general administrative, financial and management functions of the Scheme. These include:

- overall monitoring of actions and projects undertaken in the delivery of the Scheme;
- responsibility for completing and submitting grant claims to HLF on behalf of the Projects within the Scheme;
- taking receipt of grant claim monies from HLF;
- making payments to Project Partners; and
- retaining core documents and records relating to the Scheme for audit and governance purposes.

1.10 The *MTMTE* Staff Team administer this for DNPA and the Landscape Partnership as a whole.

2 Introduction

- 2.1 This report presents key financial and risk information for progress of the *Moor than meets the eye landscape* Partnership Scheme. It focusses on the impacts on the Authority in its role delivering some of its constituent Projects and administering the Scheme overall in its role as Lead Partner and Accountable Body.
- 2.2 The Authority (including its MTMTE Team and Dartmoor Hill Farm Project staff) is leading the following Projects:

Ref	Name	Budget
PA2	Haymeadows	£9,000
PA3	Natural Connections	£9,000
PA5	Unveiling the heritage of the High Moor and Forests	£79,000
PA6	Higher Uppacott	£153,250
PA7	Ponies, Pounds and Driftways	£34,000
PA8	Ancient Boundaries, Modern Farming	£100,000
PA9	Hameldown WWII Bomber Crash Archaeological Survey	£2,300
PB1	Bellever and Postbridge Trails	£124,400
PB2	Parishscapes	£175,386
PB3	Moor Medieval	£25,000
PB5	Welcome to Widecombe	£49,430
PB6	Managing Volunteers	£20,000
PC1	Moor than meets the eye Interpretation - Discovering the Dartmoor Story	£177,986
PC6	Heritage Trails	£9,900
PC8	Postbridge Visitor Centre	£184,920
PD1	Dartmoor Diploma	£150,000
	Total	£1,303,572

3 Funding position

- 3.1 The Scheme budget is £3,843,182 with HLF contributing up to £1.9m over the lifetime of the Scheme. The remaining funding comes from the MTMTE Partners and together forms a single, 'common fund' used to manage Project cashflow and overall Scheme delivery.
- 3.2 The Scheme's funding comprises a mix of:
- Cash (secured and unsecured, for example from potential Project income such as book, leaflet and ticket sales)

- The notional value of In-Kind contributions
- The notional value of Volunteering contributions
- HLF grant drawn down by each Project

and is summarised in Appendix 2.

- 3.3 The Scheme has spent £964,099 to the end of the last claim period (HLF Y2Q2), drawing down £476,633 (25%) of the HLF funding, after 30% of time into the 5 year Delivery stage. This reflects the general Project progress overall in being behind their original forecast (see Section 4) at this point.
- 3.4 Some elements of the Scheme funding may be affected by potential Project-level changes, including:
- Duchy of Cornwall: remaining £20,000 funding over the life of the Scheme for its contribution to the Dartmoor Hill Farm Project to run the PA8 - Ancient Boundaries, Modern Farming project
 - Forestry Commission: some of the £39,000 cash contribution may be at risk depending on changes to the PC8 - Postbridge Visitor Centre project and associated car parking strategy for the Postbridge/Bellever area
 - RSPB: the anticipated £21,500 volunteering input under the PA1 – Moorland Birds project may be significantly affected if the Red-backed Shrike doesn't return in the 2016 breeding season
 - Securing £90,000 HLF grant match against PC8 - Postbridge Visitor Centre depending on the proposed scope of changes being explored.

Projects continue to be monitored and significant changes reported to the Landscape Partnership Board (and HLF where relevant) for approval.

- 3.5 A total of 1,356 volunteer days (with a notional value of £97,300) have already been logged across the Scheme's Projects. We have been able to claim £38,500 of this against our eligible Projects and are well on the way to achieving the £114k Scheme target.
- 3.6 HLF has already indicated that any potential volunteer underspend on a specific project may be offset by non-claimed volunteer input on other projects. Any such request will be proposed firstly within the same Programme of associated Projects and then from within the Scheme as a whole. This potentially minimises any potential shortfall in the PA1 – Moorland Birds project highlighted above.

4 Actual 'v' forecast spend position

- 4.1 A summary and analysis of the Projects' expenditure 'v' forecast at the bid, Y2 re-baselined and within the quarter stages is shown on page 1 of Appendix 3. Project performance monitoring in Earned Value Management terms is shown on page 2 of Appendix 3.
- 4.2 The Scheme's Earned Value is the estimated value of the work completed at period end and is a simple snapshot indicator of performance, assuming a linear spend, calculated by:

- Earned Value (EV) = Percent Complete * Budget At Completion
- EV = 6/20 * £3,843,183 = £1,152,955

So, in simplistic terms, the Scheme is therefore currently 84% complete to date, rather than 100%, and 5% worse than last quarter in relative terms.

- 4.3 Overall Scheme expenditure to 29 February 2016 is £965k (including ~£10k unbudgeted costs captured under PE7). This is £1.177m behind the £2.141m originally planned at bid stage (-55%).
- 4.4 The PE7 project has been set up to capture all unbudgeted items. These so far include items such as IT equipment, office furniture setup and stationery costs. This will enable the true cost of the Scheme to be monitored and enable discussions with Partners about how to fund such costs. These are forecast to amount to ~£11k by Scheme end.
- 4.5 All Project forecasts were re-baselined at the start of Y2 (1 September 2015) to enable more accurate monitoring against actual project progress. Progress within the Y2Q2 quarter however, is also significantly behind the cumulative forecast by Project Leads at -£60k (-30%). This slight slippage highlights the need for Project Leads to continually update their forecasts to reflect actual and anticipated progress and ensure their budgets are spent (hence drawing down the HLF match funding).

5 Cashflow position

- 5.1 As the Lead Partner and Accountable Body, DNPA is exposed to significant risk in managing the Scheme and its Common Fund cashflow position. This is shown in Appendix 4.
- 5.2 DNPA is committed to a £200k contribution to the Scheme's Common Fund, as agreed in the Authority report NPA/14/001.
- 5.3 The Scheme's Common Fund cash balance held by the Authority is forecast to be in credit by £50-£53k following the expected Y2Q2 HLF grant payment and before on-going payments to Project Lead Organisations.
- 5.4 The Scheme's actual cashflow position can be volatile as it is a function of the quarterly HLF payments received and onward payments to Project Lead Organisations who have made a claim in that quarter. This net position is influenced by the mix of Projects claiming in that quarter and their respective Intervention Rates. Projects range from those fully funded by HLF/the Scheme to those whom effectively generate the equivalent match funding for every pound spent. This is illustrated by the 'Balance - in period' chart in Appendix 4. The current forecast shows that the Common Fund will generally be paying out more than it receives over the next three quarters and generally until Scheme completion. The cumulative effect on the Common Fund's balance is also shown in Appendix 4.
- 5.5 In practice, the Common Fund makes discretionary payments in advance of receiving the current quarter's onward grant payment, to some of the smaller Project Lead Organisations or individuals to help their cashflow. Although generally

small in comparison to the overall Scheme budget, this places stress on maintaining a positive cashflow position to be able to do this.

- 5.6 The combination of inaccurate Project spend forecasting and discretionary payments places further stress on the Common Fund's cashflow position.

6 Risk position

- 6.1 The Scheme's strategic risk register submitted as part of the HLF bid was a simple probability times severity matrix identifying seven, high-level risks. No provision was made in either the budget or schedule (in terms of cost and time impact) to deal with these risks if they are realised.
- 6.2 The majority of the Projects identified some risks during their delivery as part of their Project Proformas submitted to HLF. Limited, if any, provision was made in their Project budgets however to deal with these risks.
- 6.3 The new Scheme Manager introduced a Quantified Risk Register (QRR) to more accurately identify, quantify and manage risk. This is the typical model used to develop, control and deliver Government/Local Authority projects. The QRR is shown in Appendix 5.
- 6.4 The QRR is a live document throughout the course of the Scheme and is influenced by the Projects' individual risks. These risks will either be realised, part-realised or not occur as the Projects progress and eventually disappear as the Projects and Scheme complete.
- 6.5 The Scheme's Top 10 risks by notional value are:

ID	Risk
4	Funding shortfall
13	Lack of risk provision
8	Inaccurate/inconsistencies in bid-stage budgeting
42	Lack of Environmental Stewardship availability/uptake
43	Lack of Historic England management options
53	Weather delays construction work
143	No budget for seed marketing cooperative setup
19	Unsecured funding not realised
136	Tendered/outturn costs exceed budgets
141	Reliance on App development and take-up

- 6.6 The majority of these risks impact in monetary terms if they are realised and some are functions of, or compounded by, others.

- 6.7 The QRR currently totals £196k (5.1% of the £3.843m Scheme budget). The Scheme Manager and Board are actively monitoring these risks to ensure that as far as possible they are managed appropriately to minimise any cost to the Scheme.
- 6.8 Members will be informed of changes to the QRR through the alternate 6 monthly reports to the Audit and Governance Committee and Authority. The HLF are kept informed through quarterly reporting and Monitoring meetings.

7 DNPA Business Plan alignment and monitoring

- 7.1 Projects which the Authority is delivering are also aligned with the Business Plan and monitored by the formal Business Plan Monitoring and Performance Indicators, last reported to Audit and Governance Committee on 5 February 2016. An extract of *MTMTE* project data for 2015/16 and that planned for the new 2016/17 Business Plan is shown in Appendix 6 and Appendix 7 respectively.

8 Equality and Sustainability Impact Assessment

- 8.1 The projects being delivered were selected to improve access to and understanding of the MTMTE (and wider Dartmoor) area by all sectors of society; support local communities and businesses; and deliver a range of environmental benefits.

MARK ALLOTT

Background papers: NPA/14/001
 NPA/15/039
 NPA/AG/16/003
 NPA/AG/16/004

Attachments: **Appendix 1 – RAG Project Status and Staff Links**
 Appendix 2 – Funding summary
 Appendix 3 – Actual ‘v’ forecast cashflow at HLF Y2Q2 end (29 February 2016)
 Appendix 4 – Cashflow position
 Appendix 5 – Quantified Risk Register (Live risks: Top 10 at the top and highlighted red)
 Appendix 6 – 2015/16 DNPA Business Plan Monitor: *MTMTE* actions
 Appendix 7 – 2016/17 DNPA Business Plan Monitor: *MTMTE* actions

MTMTE - Landscape Partnership Scheme
Project Status and Staff Links

		Project Performance - Status (RAG)									07/04/2016		
		Budget	Cost (£ to quarter end)	Overall	Schedule (Timescale)	Quality	Cost position	Scope	Benefits	Risk	UPDATED?	Lead Org	Lead Officer
PA1	Moorland Birds	£ 89,296.00	£ 7,355.91	R	A	A	A	R	A	A	08/12/2015	RSPB	Kevin Rylands
PA2	Haymeadows	£ 9,000.00	£ 5,470.09	G	A	G	A	G	G	G	07/03/2016	DNPA	Chrissy Mason
PA3	Natural Connections	£ 9,000.00	£ 4,850.08	A	A	G	A	G	G	A	07/03/2016	DNPA	Chrissy Mason
PA4	Discovering the Nature of the Bovey Valley	£ 266,445.00	£ 100,571.41	G	G	G	G	G	G	G	03/03/2016	NE / WT	Simon Lee/David Rickwood
PA5	Unveiling the heritage of the High Moor and Forests	£ 79,000.00	£ 13,758.96	G	G	G	G	G	G	G	09/03/2016	DNPA	Lee Bray
PA6	Higher Uppacott	£ 153,250.00	£ 57,010.60	A	A	A	A	A	A	A	09/03/2016	DNPA	Andy Watson
PA7	Ponies, Pounds and Driftways	£ 34,000.00	£ 990.00	A	A	G	G	G	G	A	02/03/2016	DNPA	Rob Steemson
PA8	Ancient Boundaries, Modern Farming	£ 100,000.00	£ 29,672.00	G	A	G	G	A	A	G	02/03/2016	DHFP	Sandra Dodd
PA9	Hameldown WWII Bomber Crash Archaeological Survey	£ 2,300.00	£ 1,829.00	COMPLETE								DNPA	Lee Bray
PROGRAMME A TOTAL:		£ 742,291.00	£ 221,508.05										
PB1	Bellever and Postbridge Trails	£ 124,400.00	£ 6,394.00	G	A	G	G	G	G	A	08/03/2016	DNPA	Andy Watson/Ian Durrant
PB2	Parishscapes	£ 175,386.25	£ 21,373.64	G	G	G	G	G	G	G	03/03/2016	DNPA	Emma Stockley
PB3	Moor Medieval	£ 25,000.00	£ 7,744.73	G	G	G	A	A	A	A	18/03/2016	DNPA	Keith McKay
PB4	Engaging with the Nature of the Bovey Valley	£ 156,003.00	£ 46,042.47	G	G	G	G	A	G	G	03/03/2016	NE / WT	Simon Lee/David Rickwood
PB5	Welcome to Widecombe	£ 49,429.88	£ -	A	A	G	G	G	G	A	04/03/2016	DNPA	Andy Bailey
PB6	Managing Volunteers	£ 20,000.00	£ 285.41	G	G	G	G	G	G	A	08/03/2016	DNPA	Andy Bailey
PB7	In the Footsteps of the Victorians	£ 102,087.00	£ 1,449.57	R	A	A	A	A	A	A	07/12/2015	Lustleigh Society	Emma Stockley
PB8	Pony Herd Identification Project	£ 6,768.00	£ -	G	G	G	R	G	G	A	04/03/2016	-	Anne Cane/Andy Bailey
PB9	Moor Boots	£ 20,000.00	£ 4,319.66	G	G	G	G	G	G	G	03/03/2016	DPA	Phil Hutt
PB10	Whitehorse Community Play	£ 14,350.00	£ 12,385.00	G	G	G	G	G	G	G	15/03/2016	MED Theatre	Mark Beeson
PROGRAMME B TOTAL:		£ 693,424.13	£ 99,994.48										
PC1	<i>Moor than meets the eye</i> Interpretation - Discovering the Dartmoor Story	£ 177,986.00	£ 7,603.89	A	A	G	A	A	G	A	04/03/2016	DNPA	Andy Bailey
PC4	Brimpts Tin Trail	£ 12,300.00	£ 7,175.00	G	G	G	G	G	G	A	06/03/2016	DTRG	Anne Whitbourne
PC5	Wray Valley Trail	£ 845,000.00	£ 241,486.37	R	A	A	A	A	A	A	07/03/2016	Devon CC	Ian James
PC6	Heritage Trails	£ 9,900.00	£ 9,479.90	G	G	G	G	G	G	A	07/03/2016	DNPA	Ally Kohler
PC7	Fernworthy Reservoir Improved Access	£ 120,846.00	£ 104,250.00	A	A	G	G	G	G	G	07/03/2016	SWLT	James Platts
PC8	Postbridge Visitor Centre	£ 184,920.00	£ 6,160.00	R	R	R	R	A	A	R	08/03/2016	DNPA	Richard Drysdale
PROGRAMME C TOTAL:		£ 1,350,952.00	£ 376,155.16										
PD1	Dartmoor Diploma	£ 150,000.00	£ -	A	A	G	A	A	G	A	07/03/2016	DNPA	Mark Allott
PD2	EcoSkills	£ 199,500.00	£ 123,222.62	G	G	G	G	G	G	G	03/03/2016	NE	Simon Lee
PD3	East Shallowford Trust	£ 30,000.00	£ -	A	R	A	G	A	G	A	03/03/2016	EST Trustee	Debbie / Rev. Geoffrey Fentor
PROGRAMME D TOTAL:		£ 379,500.00	£ 123,222.62										
PE1	Staff Team	£ 631,177.28	£ 127,992.36	G			A	G		A	04/04/2016	DNPA	Mark Allott
PE2	HERO and GI Staff for PC6	£ 11,338.00	£ 3,967.00	G			G	G		G	04/04/2016	DNPA	Ally Kohler
PE3	Transport and Subsistence	£ 5,000.00	£ 1,903.12	G			G	G		G	04/04/2016	DNPA	Mark Allott
PE4	Training	£ 3,000.00	£ 729.90	G	G	G	G	G	G	G	04/04/2016	DNPA	Mark Allott
PE5	Monitoring and Evaluation	£ 20,000.00	£ 2,862.90	G	G	G	G	G	G	G	04/04/2016	DNPA	Mark Allott
PE6	<i>Moor than meets the eye</i> Website	£ 6,500.00	£ 5,763.43	COMPLETE								DNPA	Andy Bailey
PE7	Unbudgeted items	£ -	£ 9,924.86	R	R	R	R	R	R	R	04/04/2016	DNPA	Mark Allott
PROGRAMME E TOTAL:		£ 677,015.28	£ 143,218.71										

	Budget	Cost	% complete
PROGRAMME A TOTAL:	£ 742,291.00	£ 221,508.05	30%
PROGRAMME B TOTAL:	£ 693,424.13	£ 99,994.48	14%
PROGRAMME C TOTAL:	£ 1,350,952.00	£ 376,155.16	28%
PROGRAMME D TOTAL:	£ 379,500.00	£ 123,222.62	32%
PROGRAMME E TOTAL:	£ 677,015.28	£ 143,218.71	21%
TOTAL:	£ 3,843,182.41	£ 964,099.02	25%

Landscape Partnership Scheme - Funding Summary

Appendix 3 to Report No. NPA/AG/16/015

		TOTAL:
CASH INCOME		
SECURED		
PA4	Woodland Trust	£ 83,722.50
	Natural England	£ 148,500.00
PA6	Dartmoor National Park Authority	£ 100,000.00
PA8	Duchy of Cornwall	£ 30,000.00
PB1	Forestry Commission	£ 39,000.00
	Devon County Council (Granite and Gears)	£ 10,000.00
PB4	Woodland Trust	£ 19,001.50
PB9	Dartmoor Preservation Association	£ 5,000.00
PC1	Woodland Trust	£ 39,193.00
PC5	Devon County Council	£ 845,000.00
PC7	South West Lakes Trust	£ 25,500.00
PC8	Dartmoor National Park Authority	£ 100,000.00
PE1	Dartmoor Action for Wildlife Partnership	£ 21,385.00
	Woodland Trust	£ 59,925.00
TOTAL SECURED INCOME:		£ 1,526,227.00
UNSECURED		
PA1	Devon Birdwatching Society	£ 9,000.00
PA8	Farmer/Landowner Contributions	£ 50,000.00
PB7	Income and Sponsorship for RAMM exhibition	£ 9,200.00
PD1	Dartmoor Diploma Course Payments	£ 80,000.00
	Biffaward Grant Application	£ 22,100.00
TOTAL UNSECURED INCOME:		£ 170,300.00
TOTAL CASH INCOME:		£ 1,696,527.00
IN-KIND CONTRIBUTIONS		
PA1	RSPB	£ 16,593.00
PA5	Forestry Commission	£ 3,155.00
	English Heritage	£ 8,000.00
PB1	Forestry Commission	£ 16,370.00
PB7	Royal Albert Memorial Museum, Exeter (RAMM)	£ 34,787.00
PB9	Dartmoor Preservation Association	£ 5,000.00
PC7	South West Lakes Trust	£ 3,750.00
PD2	Natural England	£ 25,000.00
PD3	East Shallowford Trust	£ 20,000.00
IN-KIND CONTRIBUTIONS TOTAL:		£ 132,655.00
VOLUNTEERS		
PA1	RSPB	£ 21,500.00
PA2	Dartmoor National Park Authority	£ 4,000.00
PA3	Dartmoor National Park Authority	£ 4,000.00
PB2	Dartmoor National Park Authority (MTMTE Staff Team)	£ 7,600.00
PB3	Dartmoor National Park Authority (MTMTE Staff Team)	£ 2,500.00
PB4	Woodland Trust	£ 59,000.00
PB7	Local History Societies/Parish Archives	£ 10,000.00
PB8	Pony Group	£ 5,100.00
PB10	MED Theatre	£ 300.00
VOLUNTEERS TOTAL:		£ 114,000.00
TOTAL		£ 1,943,182.00
HLF grant		£ 1,900,000.00
GRAND TOTAL		£ 3,843,182.00

Moor than meets the eye

EVM summary

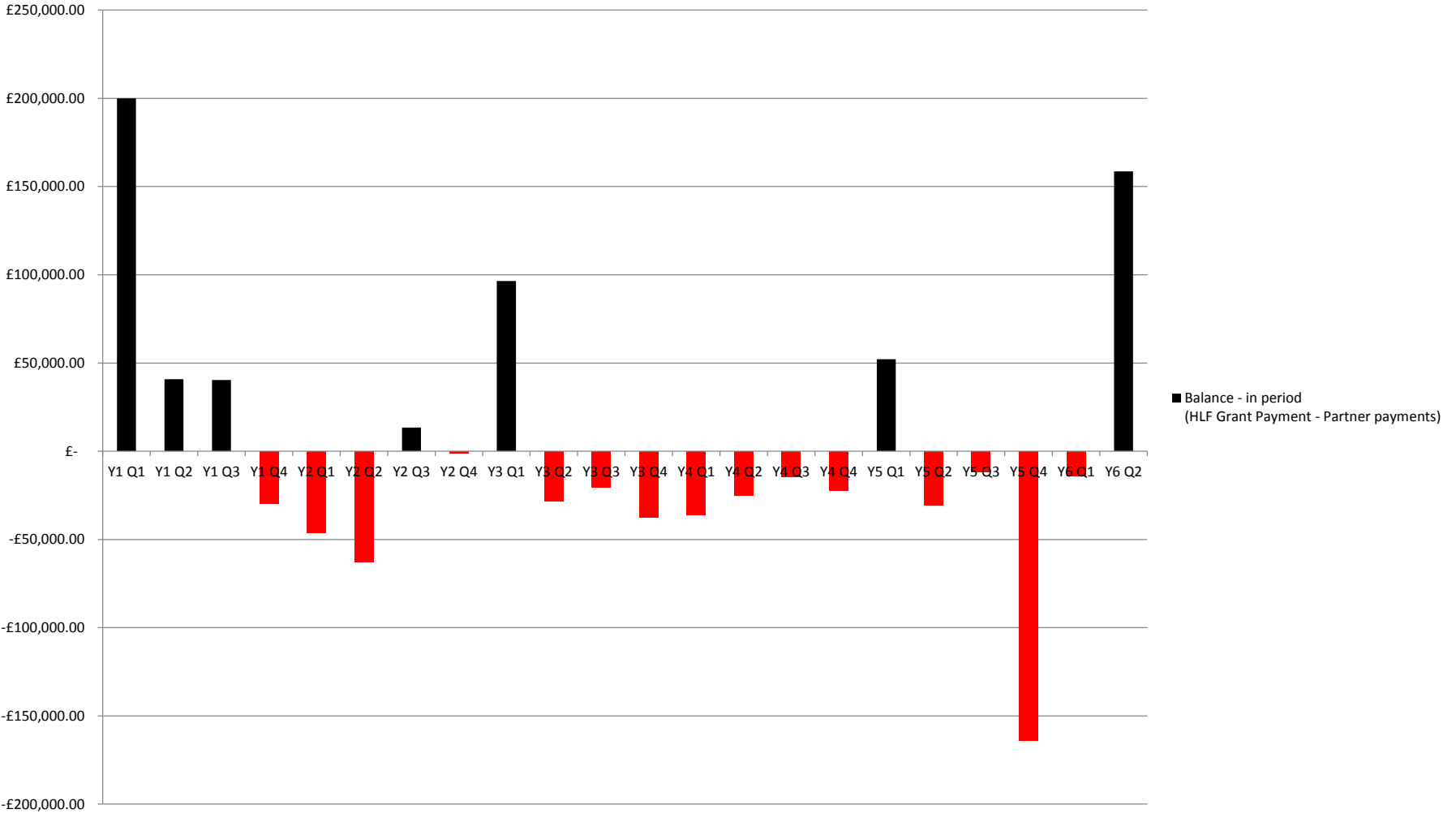
Project	Claimed spend														
	To date			Original forecast			Y2 re-baselined			Period (Quarter)					
	2. Summary of Invoices	3. Volunteer Timesheet	TOTAL	Original forecast	Variance £	Variance %	Forecast	Variance £	Variance %	Y2Q2 forecast	Y2Q2 actual (invoices)	Y2Q2 actual (Volunteers)	Y2Q2 actual total	Y2Q2 variance	Variance %
PA1 - Moorland Birds	£ 4,205.91	£ 3,150.00	£ 7,355.91	£ 33,331.08	-£ 25,975.17	-77.9%	£ 25,225.99	-£ 17,870.08	-70.8%	£ 540.36	£ 536.00	£ -	£ 536.00	-£ 4.36	-0.8%
PA2 - Haymeadows	£ 4,870.09	£ 600.00	£ 5,470.09	£ 3,500.00	£ 1,970.09	56.3%	£ 5,536.73	-£ 66.64	-1.2%	£ 1,452.57	£ 1,119.25	£ 300.00	£ 1,419.25	-£ 33.32	-2.3%
PA3 - Natural Connections	£ 4,850.08	£ -	£ 4,850.08	£ 3,500.00	£ 1,350.08	38.6%	£ 5,516.72	-£ 666.64	-12.1%	£ 1,452.57	£ 1,119.25	£ -	£ 1,119.25	-£ 333.32	-22.9%
PA4 - Discovering the Nature of the Bovey Valley	£ 100,571.41	£ -	£ 100,571.41	£ 142,833.00	-£ 42,261.59	-29.6%	£ 114,209.84	-£ 13,638.43	-11.9%	£ 35,466.50	£ 22,695.55	£ -	£ 22,695.55	-£ 12,770.95	-36.0%
PA5 - Unveiling the heritage of the High Moor and Forests	£ 13,758.96	£ -	£ 13,758.96	£ 38,000.00	-£ 24,241.04	-63.8%	£ 12,705.00	£ 1,053.96	8.3%	£ 1,000.00	£ 1,054.97	£ -	£ 1,054.97	£ 54.97	5.5%
PA6 - Higher Uppacott	£ 57,010.60	£ -	£ 57,010.60	£ 106,350.00	-£ 49,339.40	-46.4%	£ 56,169.19	£ 841.41	1.5%	£ 14,600.00	£ 11,416.16	£ -	£ 11,416.16	-£ 3,183.84	-21.8%
PA7 - Ponies, Pounds and Driftways	£ 990.00	£ -	£ 990.00	£ 1,500.00	-£ 510.00	-34.0%	£ 1,500.00	-£ 510.00	-34.0%	£ 1,500.00	£ 990.00	£ -	£ 990.00	-£ 510.00	-34.0%
PA8 - Ancient Boundaries, Modern Farming	£ 29,672.00	£ -	£ 29,672.00	£ 20,000.00	£ 9,672.00	48.4%	£ 20,000.00	£ 9,672.00	48.4%	£ 20,000.00	£ 24,672.00	£ -	£ 24,672.00	£ 4,672.00	23.4%
PA9 - Hameldown WWII Bomber Crash Archaeological Survey	£ 1,829.00	£ -	£ 1,829.00	£ 2,300.00	-£ 471.00	-20.5%	£ 1,829.00	£ -	0.0%	£ -	£ -	£ -	£ -	£ -	#DIV/0!
PB1 - Believer and Postbridge Trails	£ 6,394.00	£ -	£ 6,394.00	£ 50,000.00	-£ 43,606.00	-87.2%	£ 12,237.90	-£ 5,843.90	-47.8%	£ 10,000.00	£ -	£ -	£ -	-£ 10,000.00	-100.0%
PB2 - Parishscapes	£ 13,773.64	£ 7,600.00	£ 21,373.64	£ 109,736.25	-£ 88,362.61	-80.5%	£ 37,527.90	-£ 16,154.26	-43.0%	£ 28,955.00	£ 7,646.24	£ -	£ 7,646.24	-£ 21,308.76	-73.6%
PB3 - Moor Medieval	£ 5,244.73	£ 2,500.00	£ 7,744.73	£ 13,200.00	-£ 5,455.27	-41.3%	£ 7,496.18	£ 248.55	3.3%	£ 3,600.00	£ 1,046.18	£ -	£ 1,046.18	-£ 2,553.82	-70.9%
PB4 - Engaging with the Nature of the Bovey Valley	£ 23,042.47	£ 23,000.00	£ 46,042.47	£ 45,417.00	£ 625.47	1.4%	£ 47,226.57	-£ 1,184.10	-2.5%	£ 16,381.00	£ 4,435.00	£ 8,700.00	£ 13,135.00	-£ 3,246.00	-19.8%
PB5 - Welcome to Widecombe	£ -	£ -	£ -	£ 7,864.36	-£ 7,864.36	-100.0%	£ -	£ -	#DIV/0!	£ -	£ -	£ -	£ -	£ -	#DIV/0!
PB6 - Managing Volunteers	£ 285.41	£ -	£ 285.41	£ 6,000.00	-£ 5,714.59	-95.2%	£ 2,270.00	-£ 1,984.59	-87.4%	£ 1,410.09	£ -	£ -	£ -	-£ 1,410.09	-100.0%
PB7 - In the Footsteps of the Victorians	£ 49.57	£ 1,400.00	£ 1,449.57	£ 10,125.00	-£ 8,675.43	-85.7%	£ 1,429.07	£ 20.50	1.4%	£ -	£ 20.50	£ -	£ 20.50	£ 20.50	#DIV/0!
PB8 - Pony Herd Identification Project	£ -	£ -	£ -	£ 6,768.00	-£ 6,768.00	-100.0%	£ 1,450.00	-£ 1,450.00	-100.0%	£ 900.00	£ -	£ -	£ -	-£ 900.00	-100.0%
PB9 - Moor Boots	£ 4,319.66	£ -	£ 4,319.66	£ 5,000.00	-£ 680.34	-13.6%	£ 6,144.66	-£ 1,825.00	-29.7%	£ 1,900.00	£ 300.00	£ -	£ 300.00	-£ 1,600.00	-84.2%
PB10 - Whitehorse Community Play	£ 12,085.00	£ 300.00	£ 12,385.00	£ 11,850.00	£ 535.00	4.5%	£ 12,058.00	£ 327.00	2.7%	£ -	£ -	£ -	£ -	£ -	#DIV/0!
PC1 - Moor than meets the eye Interpretation - Discovering the Dartmoor Story	£ 7,603.89	£ -	£ 7,603.89	£ 112,353.00	-£ 104,749.11	-93.2%	£ 8,306.89	-£ 703.00	-8.5%	£ 1,700.00	£ 1,141.86	£ -	£ 1,141.86	-£ 558.14	-32.8%
PC4 - Brimpts Tin Trail	£ 7,175.00	£ -	£ 7,175.00	£ 5,300.00	£ 1,875.00	35.4%	£ 7,717.89	-£ 542.89	-7.0%	£ -	£ 430.00	£ -	£ 430.00	£ 430.00	#DIV/0!
PC5 - Wray Valley Trail	£ 241,486.37	£ -	£ 241,486.37	£ 831,000.00	-£ 589,513.63	-70.9%	£ 202,779.37	£ 38,707.00	19.1%	£ -	£ 7,991.51	£ -	£ 7,991.51	£ 7,991.51	#DIV/0!
PC6 - Heritage Trails	£ 9,479.90	£ -	£ 9,479.90	£ 9,400.00	£ 79.90	0.8%	£ 9,479.90	£ -	0.0%	£ -	£ -	£ -	£ -	£ -	#DIV/0!
PC7 - Fernworthy Reservoir Improved	£ 104,250.00	£ -	£ 104,250.00	£ 114,716.00	-£ 10,466.00	-9.1%	£ 106,908.84	-£ 2,658.84	-2.5%	£ 7,821.00	£ 1,282.96	£ -	£ 1,282.96	-£ 6,538.04	-83.6%
PC8 - Postbridge Visitor Centre	£ 6,160.00	£ -	£ 6,160.00	£ 144,920.00	-£ 138,760.00	-95.7%	£ 2,850.00	£ 3,310.00	116.1%	£ -	£ 2,550.00	£ -	£ 2,550.00	£ 2,550.00	#DIV/0!
PD1 - Dartmoor Diploma	£ -	£ -	£ -	£ 37,140.00	-£ 37,140.00	-100.0%	£ -	£ -	#DIV/0!	£ -	£ -	£ -	£ -	£ -	#DIV/0!
PD2 - EcoSkills	£ 123,222.62	£ -	£ 123,222.62	£ 43,000.00	£ 80,222.62	186.6%	£ 106,421.17	£ 16,801.45	15.8%	£ 13,000.00	£ 26,823.35	£ -	£ 26,823.35	£ 13,823.35	106.3%
PD3 - East Shallowford Trust	£ -	£ -	£ -	£ 25,000.00	-£ 25,000.00	-100.0%	£ 10,000.00	-£ 10,000.00	-100.0%	£ 10,000.00	£ -	£ -	£ -	-£ 10,000.00	-100.0%
PE1 - Staff team	£ 127,992.36	£ -	£ 127,992.36	£ 174,594.53	-£ 46,602.17	-26.7%	£ 162,825.18	-£ 34,832.82	-21.4%	£ 31,650.00	-£ 6,762.86	£ -	-£ 6,762.86	-£ 38,412.86	-121.4%
PE2 - HERO & GI Staff for PC6	£ 3,967.00	£ -	£ 3,967.00	£ 11,338.00	-£ 7,371.00	-65.0%	£ 15,701.92	-£ 11,734.92	-74.7%	£ 2,181.96	-£ 7,371.00	£ -	-£ 7,371.00	-£ 9,552.96	-437.8%
PE3 - Transport & Subsistence	£ 1,903.12	£ -	£ 1,903.12	£ 1,450.00	£ 453.12	31.2%	£ 9,133.27	-£ 7,230.15	-79.2%	£ 300.00	£ -	£ -	£ -	-£ 300.00	-100.0%
PE4 - Training	£ 729.90	£ -	£ 729.90	£ 900.00	-£ 170.10	-18.9%	£ 800.00	-£ 70.10	-8.8%	£ 150.00	£ -	£ -	£ -	-£ 150.00	-100.0%
PE5 - Monitoring & Evaluation	£ 2,862.90	£ -	£ 2,862.90	£ 6,000.00	-£ 3,137.10	-52.3%	£ -	£ 2,862.90	#DIV/0!	£ -	£ 2.90	£ -	£ 2.90	£ 2.90	#DIV/0!
PE6 - MTMTE Website	£ 5,763.43	£ -	£ 5,763.43	£ 6,500.00	-£ 736.57	-11.3%	£ 5,763.43	£ -	0.0%	£ -	£ -	£ -	£ -	£ -	#DIV/0!
TOTAL	£ 925,549.02	£ 38,550.00	£ 964,099.02	£ 2,140,886.22	-£ 1,176,787.20	-55.0%	£ 1,019,220.61	-£ 55,121.59	-5.4%	£ 205,961.05	£ 103,139.82	£ 9,000.00	£ 112,139.82	-£ 93,821.23	-45.6%
Check=0	£ -	£ -	£ -	£ -	£ -	£ -	£ -	£ -	£ -	£ -	£ -	£ -	£ -	£ -	-46%
PE7 - Unbudgeted items	£ 9,924.86	£ -	£ 9,924.86	£ -	£ 9,924.86	#DIV/0!	£ 9,249.01	-£ 9,249.01	-100.0%	£ 61.00	£ 4,705.86	£ -	£ 4,705.86	£ 4,644.86	98.7%

Moor than meets the eye

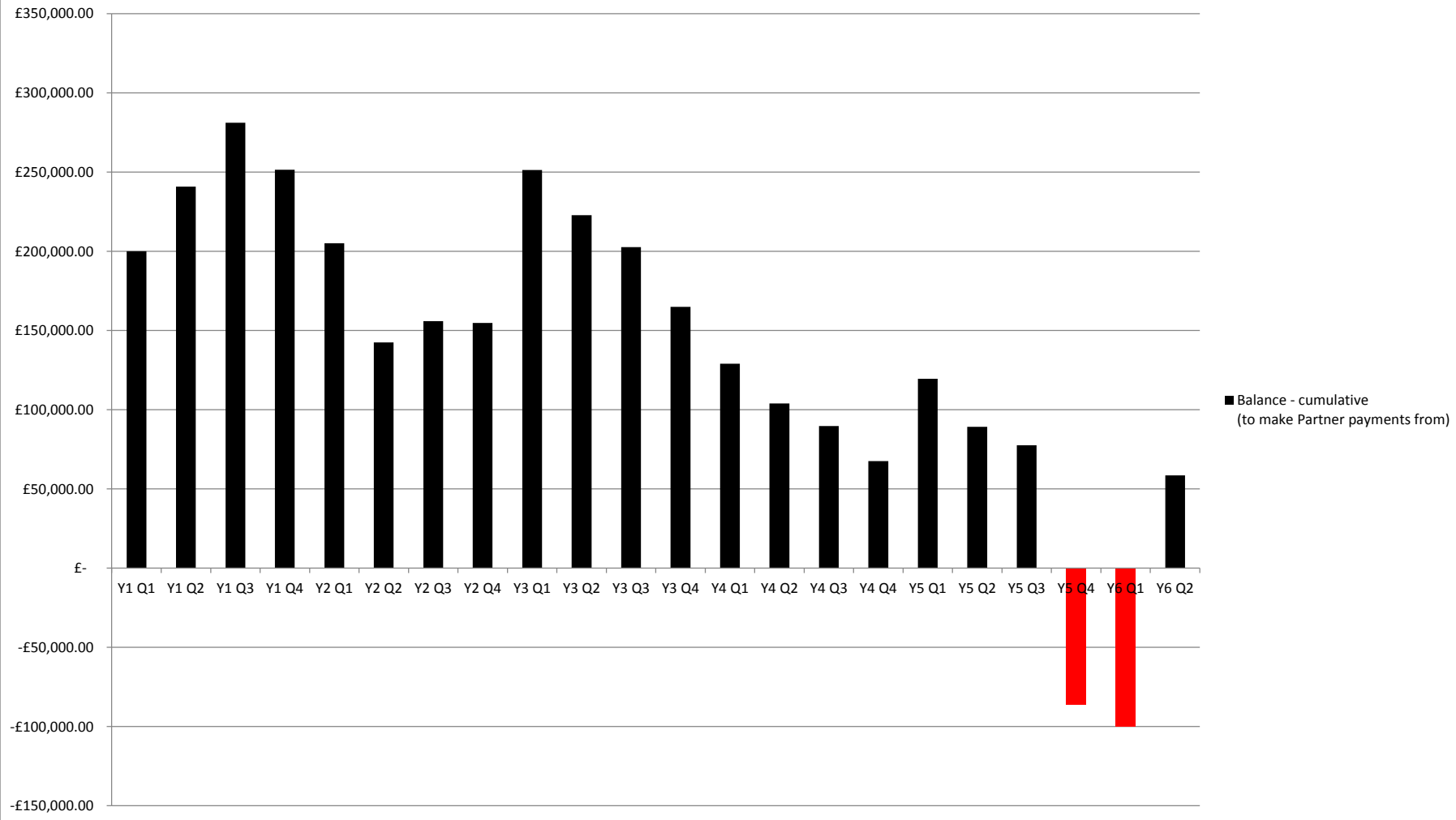
EVM summary

Project	Earned Value Management (EVM)										
	Budget at Completion (BAC)	Schedule % Complete	Planned Value (PV) = forecast to date	Earned Value (EV) = BAC*% complete	Actual Cost (AC) = £ claimed	Schedule Variance (SV) = (EV-PV)	Cost Variance (CV) = (EV-AC)	Schedule Performance Index (SPI) = (EV/PV)	Cost Performance Index (SPI) = (EV/AC)	Estimate to Complete (ETC) = (BAC-AC) = remaining budget	Forecast Cost at Completion (FCAC) = (PV+AC-EV) = over or underspend
PA1 - Moorland Birds	£ 89,296.00	5%	£ 25,225.99	£ 4,464.80	£ 7,355.91	£ 20,761.19	£ 2,891.11	18%	61%	£ 81,940.09	£ 28,117.10
PA2 - Haymeadows	£ 9,000.00	60%	£ 5,536.73	£ 5,400.00	£ 5,470.09	£ 136.73	£ 70.09	98%	99%	£ 3,529.91	£ 5,606.82
PA3 - Natural Connections	£ 9,000.00	60%	£ 5,516.72	£ 5,400.00	£ 4,850.08	£ 116.72	£ 549.92	98%	111%	£ 4,149.92	£ 4,966.80
PA4 - Discovering the Nature of the Bovey Va	£ 266,445.00	34%	£ 114,209.84	£ 89,934.31	£ 100,571.41	£ 24,275.53	£ 10,637.10	79%	89%	£ 165,873.59	£ 124,846.94
PA5 - Unveiling the heritage of the High Moor	£ 79,000.00	34%	£ 12,705.00	£ 26,665.21	£ 13,758.96	£ 13,960.21	£ 12,906.25	210%	194%	£ 65,241.04	£ 201.25
PA6 - Higher Uppacott	£ 153,250.00	30%	£ 56,169.19	£ 45,975.00	£ 57,010.60	£ 10,194.19	£ 11,035.60	82%	81%	£ 96,239.40	£ 67,204.79
PA7 - Ponies, Pounds and Driftways	£ 34,000.00	40%	£ 1,500.00	£ 13,600.00	£ 990.00	£ 12,100.00	£ 12,610.00	907%	1374%	£ 33,010.00	£ 11,110.00
PA8 - Ancient Boundaries, Modern Farming	£ 100,000.00	34%	£ 20,000.00	£ 33,753.42	£ 29,672.00	£ 13,753.42	£ 4,081.42	169%	114%	£ 70,328.00	£ 15,918.58
PA9 - Hameldown WWII Bomber Crash Arch	£ 2,300.00	100%	£ 1,829.00	£ 2,300.00	£ 1,829.00	£ 471.00	£ 471.00	126%	126%	£ 471.00	£ 1,358.00
PB1 - Bellever and Postbridge Trails	£ 124,400.00	10%	£ 12,237.90	£ 12,440.00	£ 6,394.00	£ 202.10	£ 6,046.00	102%	195%	£ 118,006.00	£ 6,191.90
PB2 - Parishscapes	£ 175,386.25	34%	£ 37,527.90	£ 59,198.87	£ 21,373.64	£ 21,670.97	£ 37,825.23	158%	277%	£ 154,012.61	£ 297.33
PB3 - Moor Medieval	£ 25,000.00	34%	£ 7,496.18	£ 8,438.36	£ 7,744.73	£ 942.18	£ 693.63	113%	109%	£ 17,255.27	£ 6,802.55
PB4 - Engaging with the Nature of the Bovey V	£ 156,003.00	34%	£ 47,226.57	£ 52,656.36	£ 46,042.47	£ 5,429.79	£ 6,613.89	111%	114%	£ 109,960.53	£ 40,612.68
PB5 - Welcome to Widecombe	£ 49,429.88	5%	£ -	£ 2,471.49	£ -	£ 2,471.49	£ 2,471.49	#DIV/0!	#DIV/0!	£ 49,429.88	£ 2,471.49
PB6 - Managing Volunteers	£ 20,000.00	34%	£ 2,270.00	£ 6,750.68	£ 285.41	£ 4,480.68	£ 6,465.27	297%	2365%	£ 19,714.59	£ 4,195.27
PB7 - In the Footsteps of the Victorians	£ 102,087.00	1%	£ 1,429.07	£ 1,020.87	£ 1,449.57	£ 408.20	£ 428.70	71%	70%	£ 100,637.43	£ 1,857.77
PB8 - Pony Herd Identification Project	£ 6,768.00	10%	£ 1,450.00	£ 676.80	£ -	£ 773.20	£ 676.80	47%	#DIV/0!	£ 6,768.00	£ 773.20
PB9 - Moor Boots	£ 20,000.00	34%	£ 6,144.66	£ 6,750.68	£ 4,319.66	£ 606.02	£ 2,431.02	110%	156%	£ 15,680.34	£ 3,713.64
PB10 - Whitehorse Community Play	£ 14,350.00	75%	£ 12,058.00	£ 10,762.50	£ 12,385.00	£ 1,295.50	£ 1,622.50	89%	87%	£ 1,965.00	£ 13,680.50
PC1 - Moor than meets the eye Interpretation - Discovering the Dartmoor Story	£ 177,986.00	5%	£ 8,306.89	£ 8,899.30	£ 7,603.89	£ 592.41	£ 1,295.41	107%	117%	£ 170,382.11	£ 7,011.48
PC4 - Brimpts Tin Trail	£ 12,300.00	75%	£ 7,717.89	£ 9,225.00	£ 7,175.00	£ 1,507.11	£ 2,050.00	120%	129%	£ 5,125.00	£ 5,667.89
PC5 - Wray Valley Trail	£ 845,000.00	25%	£ 202,779.37	£ 211,250.00	£ 241,486.37	£ 8,470.63	£ 30,236.37	104%	87%	£ 603,513.63	£ 233,015.74
PC6 - Heritage Trails	£ 9,900.00	90%	£ 9,479.90	£ 8,910.00	£ 9,479.90	£ 569.90	£ 569.90	94%	94%	£ 420.10	£ 10,049.80
PC7 - Fernworthy Reservoir Improved Access	£ 120,846.00	85%	£ 106,908.84	£ 102,719.10	£ 104,250.00	£ 4,189.74	£ 1,530.90	96%	99%	£ 16,596.00	£ 108,439.74
PC8 - Postbridge Visitor Centre	£ 184,920.00	10%	£ 2,850.00	£ 18,492.00	£ 6,160.00	£ 15,642.00	£ 12,332.00	649%	300%	£ 178,760.00	£ 9,482.00
PD1 - Dartmoor Diploma	£ 150,000.00	5%	£ -	£ 7,500.00	£ -	£ 7,500.00	£ 7,500.00	#DIV/0!	#DIV/0!	£ 150,000.00	£ 7,500.00
PD2 - EcoSkills	£ 199,500.00	34%	£ 106,421.17	£ 67,338.08	£ 123,222.62	£ 39,083.09	£ 55,884.54	63%	55%	£ 76,277.38	£ 162,305.70
PD3 - East Shallowford Trust	£ 30,000.00	0%	£ 10,000.00	£ -	£ -	£ 10,000.00	£ -	0%	#DIV/0!	£ 30,000.00	£ 10,000.00
PE1 - Staff team	£ 631,177.28	34%	£ 162,825.18	£ 213,043.95	£ 127,992.36	£ 50,218.77	£ 85,051.59	131%	166%	£ 503,184.92	£ 77,773.59
PE2 - HERO & GI Staff for PC6	£ 11,338.00	90%	£ 15,701.92	£ 10,204.20	£ 3,967.00	£ 5,497.72	£ 6,237.20	65%	257%	£ 7,371.00	£ 9,464.72
PE3 - Transport & Subsistence	£ 5,000.00	34%	£ 9,133.27	£ 1,687.67	£ 1,903.12	£ 7,445.60	£ 215.45	18%	89%	£ 3,096.88	£ 9,348.72
PE4 - Training	£ 3,000.00	34%	£ 800.00	£ 1,012.60	£ 729.90	£ 212.60	£ 282.70	127%	139%	£ 2,270.10	£ 517.30
PE5 - Monitoring & Evaluation	£ 20,000.00	34%	£ -	£ 6,750.68	£ 2,862.90	£ 6,750.68	£ 3,887.78	#DIV/0!	236%	£ 17,137.10	£ 3,887.78
PE6 - MTMTE Website	£ 6,500.00	100%	£ 5,763.43	£ 6,500.00	£ 5,763.43	£ 736.57	£ 736.57	113%	113%	£ 736.57	£ 5,026.86
	£ 3,843,182.41					£ 42,971.33	£ 98,092.92				£ 921,127.68
PE7 - Unbudgeted items	£ -	34%	£ 9,249.01	£ -	£ 9,924.86	£ 9,249.01	£ 9,924.86	0%	0%	£ 9,924.86	£ 19,173.87

Balance - in period (HLF Grant Payment - Partner payments)



Balance - cumulative (to make Partner payments from)



Rank	Risk ID No.	Risk Author	Date identified	Risk Level	Project ref	Risk Category	Risk Description (Cause, Event, Effect)	Probability	Cost Impact	Time Impact	Risk: Cost	Risk: Time	Proximity	Response Category	Risk Owner	Response/Mitigation/Actions	Status	Manual calculation of value of individual risks to establish notional cost
1	4	LP Board	01/08/2014	Scheme	Scheme	Finance	Funding: Funding shortfall due to increased costs or withdrawal of funding. Over-reliance on one funding partner, lack of match funding for grant schemes and Dartmoor Diploma, Results in: Potential diversion of Landscape Partnership staff time from specific project delivery	5	5	1	R	A	Long term	T - Reduce	Ally Kohler	A large percentage of match funding has been secured and is built into partners' medium term financial plans and/or are earmarked commitments in reserves. Need for continued financial monitoring and management Be aware of high risk projects: Wray Valley Trail (provides high percentage of cash match funding) Dartmoor Diploma – a large amount of unsecured match funding	Active	£ 37,500
1	13	Mark Allott	05/01/2015	Scheme	Scheme	Risk	Risk Management: No provision appears to have been made in either the budget or schedule (in terms of cost and time) to deal with risks if they are realised.	5	5	2	R	A	Short Term	T - Accept	Ally Kohler	- Scheme Manager to develop Quantified Risk Register (QRR) and estimate cost/time impact to inform likely outturn Project and hence Scheme costs - LP Board to acknowledge this and identify means to fund any budget overrun due to unprovided risk realisation - All foreseen Scheme and Project risks to be identified on the QRR and filtered lists supplied to Project Leads for review - Project Leads to review baseline QRR and monitor/action/report as part of the monthly Highlight Reports - Scheme Manager to arrange Project Risk	Active	£ 37,500
3	8	Mark Allott	23/01/2015	Scheme	Scheme	Finance	Budgeting: Inconsistencies between Project Proforma details and Scheme Budget. Results in: Under/Over budget and problematic monitoring	5	3	4	R	R	Short Term	T - Fallback	Mark Allott	- Scheme Manager to review Project Proformas 'v' Scheme Budget and identify discrepancies - Scheme Manager to re-profile forecast spend - Scheme Manager to work with Project Leads to identify/secure cost saving s on other project elements to potentially offset budget variance	Part-realised	£ 7,500
3	42	Jane Marchand	18/08/2014	Project	PA5	Participation	Lack of uptake of ES schemes	5	3	3	R	R	Short Term	T - Reduce	Lee Bray	Ensure that MMS Conservation work completed by 2015	Active	£ 7,500
3	43	Jane Marchand	18/08/2014	Project	PA5	3rd party Regulations/Processes	Post 2015 - Lack of HE management options in new schemes	5	3	3	R	R	Medium term	T - Reduce	Lee Bray	Further promotion of the adopt a monument scheme	Active	£ 7,500
3	53	Sandra Dodd	18/08/2014	Project	PA8	Construction	Poor weather delays delivery	5	3	5	R	R	Medium term	T - Reduce	Bob Bears	Increase timescale for delivery in first four years.	Active	£ 7,500
3	143	Chrissy Mason	13/01/2016	Project	PA2	Finance	There is no specific budget allocation for interpretation/setting up the green hay/seed marketing co-operative.	5	3	1	R	A	Medium term	T - Reduce	Chrissy Mason	Agreed with scheme manager to prioritise land management during Yr2 and consider allocating unspent budget for Yr 3 to non land-management outputs of the project	Active	£ 7,500
8	19	Mark Allott	19/01/2015	Scheme	Scheme	Finance	Unsecured' Funding: A number of Projects' funding sources rely on uncertain book/ticket sales and/or third party contributions and may affect cashflow and Project delivery	3	4	1	A	G	Short Term	T - Reduce	Mark Allott	- DNPA Finance/Scheme Manager to identify unsecured funding contributions across Projects - Scheme Manager to liaise with Project Leads to identify when funding becomes due/eligible and update cashflow forecast accordingly	Active	£ 6,250
8	136	Rob Steemson	03/03/2015	Project	PA7	Finance	Tendered and/or outturn costs exceed budget	3	4	1	A	G	Medium term		Rob Steemson		Active	£ 6,250
10	141	Andy Bailey	05/03/2015	Project	PC1	Delivery	Reliance on App development and take-up	4	3	3	A	A	Short Term	T - Reduce	Andy Bailey	Advice has suggested that there is a high risk providing interpretation through an app in terms of development, take up by users and ongoing support. One solution would be to provide further support to mobile friendly website	Active	£ 5,000
11	20	Mark Allott	19/01/2015	Scheme	Scheme	Finance	MTMTE Team start-up cost allowance: The Scheme Manager has identified that there are a number of start-up costs for the MTMTE Team which do not appear to have any budget/risk allowance. For example: • Salaries appointments above the base spinal point in the band • Office stationery • Office shelving • Project management tools/software (eg..... MS Project, @RISK)	5	2	1	A	A	Short Term	T - Accept	Ally Kohler	- Scheme Manager to collate costs to date and prepare a forecast over the 5 year Scheme period - LP Board to acknowledge this and seek funding support	Active	£ 3,750

Rank	Risk ID No.	Risk Author	Date identified	Risk Level	Project ref	Risk Category	Risk Description (Cause, Event, Effect)	Probability	Cost Impact	Time Impact	Risk: Cost	Risk: Time	Proximity	Response Category	Risk Owner	Response/Mitigation/Actions	Status	Manual calculation of value of individual risks to establish notional cost
12	2	LP Board	01/08/2014	Scheme	Scheme	Comms	Stakeholder support: Lack of support for certain [Projects] from local communities, farmers, visitors and the wider audience. Results in: Inability to deliver the Landscape Partnership scheme. Delays in delivery. Project staff spend time reacting to complaints rather than delivering Scheme	2	4	4	A	A	Short Term	T - Reduce	Andy Bailey	Effective engagement and good communication with local communities has created useful networks and contacts. This will be continued, and built upon, during the delivery stage. The Local Stakeholders Group has been effective at promoting the LP Scheme and will continue during the delivery stage. Lessons learnt from Development phase. 'Have your say' sessions held monthly and targeted engagement at the Project level. Use of social media and new website to spread the message and engage communities	Active	£ 2,500
12	23	Kevin Rylands	18/08/2014	Project	PA1	Vandalism	Egg theft: unfortunately red-backed shrikes attract egg hunters (egg theft played a large part in the birds' final disappearance as a UK breeding bird in the 1980s/90s).	3	3	5	A	R	Long term	T - Reduce	Kevin Rylands	We will not promote and will ask our partners not to promote the location of breeding sites of red-backed shrike. We will provide protection to ensure the birds and their eggs are safe.	Active	£ 2,500
12	142	Kevin Rylands	18/08/2014	Project	PA1	Scope	The red-backed shrikes do not return to breed in 2016.	3	3	5	A	R	Short Term	T - Fallback	Kevin Rylands	We will be carrying out pre-season monitoring to establish presence of red-backed shrikes in order that protection can be put in place. The birds migrate to Africa for the winter and, if birds fail to return and breed in any years of the project, the RSPB will not run the protection project. There is nothing we can do to ensure that birds return. The Red Backed Shrike is at the heart of this project which has been broadened out to look at the wider	Active	£ 2,500
12	27	Norman Baldock	18/08/2014	Project	PA2	Delivery	Machinery and stock sharing doesn't work as hoped	3	3	3	A	A	Medium term	T - Reduce	Chrissy Mason	Ensure thorough consideration of issues by all partners at initial stage. Community Ecologist can facilitate initially	Active	£ 2,500
12	29	Norman Baldock	18/08/2014	Project	PA3	Participation	Unwillingness of some landowners to take part	3	3	4	A	A	Medium term	T - Reduce	Chrissy Mason	It is known that the main landowner and some others are keen to get involved. Much can be done without all landowners participating	Active	£ 2,500
12	55	Jane Marchand	18/08/2014	Project	PA9	Delivery	Geophysical survey does not work sufficiently well to establish principal impact and burn area	3	3	4	A	A	Short Term	T - Reduce	Andy Bailey	A preliminary survey will be undertaken to ascertain viability of the geophysical survey	Active	£ 2,500
12	77	Peter Mason	18/08/2014	Project	PB7	Finance	income from sponsorship not met	3	3	1	A	G	Medium term	T - Reduce	Emma Stockley	Elements of the local exhibitions and the exhibition at RAMM will have to be scaled back accordingly.	Active	£ 2,500
12	85	Mark Beeson	18/08/2014	Project	PB10	Participation	Not enough participants are recruited	3	3	4	A	A	Short Term	T - Reduce	Mark Beeson	Use taster workshops to draw in participants, and a wide range of advertising	Active	£ 2,500
12	95	Ally Kohler	18/08/2014	Project	PC6	Delivery	Technical issues with functionality	3	3	4	A	A	Short Term	T - Reduce	Ally Kohler	Expert advice will be used to help ensure the design is fit for purpose at the start of the process	Active	£ 2,500
12	127	Ally Kohler	18/08/2014	Project	PD1	Participation	Poor take up of Diploma courses	3	3	5	A	R	Medium term	T - Reduce	Mark Allott	Developed flexible course system to allow students to choose the level of the award Potential project re-scoping to make it more attractive to potential candidates Tenders for the contract for delivering the Dartmoor Diploma will be for two years initially, so that the project can be thoroughly evaluated.	Active	£ 2,500
22	108	James Platts	18/08/2014	Project	PC7	Construction	Delays on site	5	1	1	A	A	Medium term	T - Reduce	James Platts	QS to hold regular meeting with Contractors, Bill of Quantities and JCT contract in place, penalty clauses invoked, retention period for defects. Allow extra tie in contract for poor weather	Part-realised	£ 1,875
22	11	Mark Allott	19/02/2015	Scheme	Scheme	Safety	CDM Regulations 2015: Change in CDM Regulations 2015 places additional duties on Client affecting Scheme/Project delivery (time and/or cost)	5	1	1	A	A	Short Term	T - Accept	Ally Kohler	- Scheme Manager to liaise with Peter Wilson (H&S Advisor to DNPA from Teignbridge District Council) on Project Lead briefing to ensure they understand the changes from CDM 2007 and their new duties from 6 April 2015 - Scheme Manager to liaise with Peter Wilson and identify construction related Projects which CDM Regs 2015 (and currently 2007) apply to - Relevant Project Leads to ensure CDM Regs 2015 compliance	Active	£ 1,875
22	16	Mark Allott	09/02/2015	Project	PB7	Finance	Output sales financial liability: PB7 - In the Footsteps of the Victorians - Lustleigh Parish, as lead partner, is unwilling to accept liability (~£5,000) for unsold books and has asked DNPA to indemnify their liability if sales targets are not reached. This may hinder progress until an agreement is reached, affecting forecast cashflow and schedule	5	1	2	A	A	Short Term	T - Reduce	Emma Stockley	- Community Heritage Officer to liaise with DNPA Finance/Legal on potential Agreement to indemnify this - Scheme Manager to consider potential conflict of interest with ensuring quality outputs maintained - Community Heritage Officer to implement quality control mechanism and monitor	Active	£ 1,875
22	91	Anne Whitbourn	18/08/2014	Project	PC4	Participation	Volunteers come forward with different skills and abilities	5	1	1	A	A	Short Term	T - Fallback	Anne Whitbourn	Provide a range of jobs for volunteers to do. Provide informal on the job training by matching those with more experience to those with less	Active	£ 1,875

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22	93	Ian James	18/08/2014	Project	PC5	Land	Delay to obtaining land, however,	5	1	3	A	R	Medium term	T - Accept	Ian James	The funding available from DCC is allocated so will roll forward until the scheme can be delivered.	Active	£ 1,875
27	18	Mark Allott	19/01/2015	Scheme	Scheme	Finance	Bankrolling short-term cashflow/start-up costs: Individual Project Leads or smaller Project Lead organisations may experience cashflow/start-up cost problems due to timescales for claim payments after HLF settlement. This may force into bridging loans and affect relationships/good-will/Project delivery.	3	2	1	A	G	Short Term	T - Reduce	Mark Allott	- Scheme Manager to assess with Project Leads on a case-by-case basis - Project Leads to present a case/justification to Scheme Manager - Scheme Manager to liaise with DNPA Finance/Legal on form of Agreement if short-term bankrolling support is to be provided from DNPA Scheme funding contribution	Active	£ 1,250
27	10	Mark Allott	23/01/2015	Project	Scheme	Schedule	Schedule accuracy: Change in Project delivery schedules (from re-baselined Schedule in Y1Q2). Results in: amended Project and Scheme spend profile, forecast and cashflow and potentially impacts HLF Completion Date (17 August 2019)	3	2	2	A	A	Medium term	T - Fallback	Mark Allott	- Project Leads to re-assess their Project Schedules as part of monthly Project Highlight Reports to the Scheme Manager - Scheme Manager to update individual Project Schedules and hence master Scheme Schedule - Scheme Manager to liaise with HLF Mentor and notify of any 'significant change' - Scheme Manager to produce '3 month Lookahead' Schedule for Project Leads to review/monitor and report	Active	£ 1,250
27	146	David Rickwood	07/12/2015	Project	PA4	Outputs	Change in output target for lichen ha. May jeopardise HLF approval	3	2	1	A	G	Short Term	T - Reduce	Mark Allott	Ongoing need to clarify targets for lichens i.e. 500ha and 100ha with HLF	Active	£ 1,250
27	147	Andrew Watson	07/12/2015	Project	PA6	Schedule	Some slippage in timing of internal works, plus drainage works (outside of this HLF scheme) likely to be delayed, and could have a knock on effect due to limited access to site	4	1	4	A	R	Short Term	T - Reduce	Andrew Watson	Assess resources and programme works efficiently	Active	£ 1,250
27	38	Simon Lee/David Rickwood	18/08/2014	Project	PA4	Delivery	Barbastelle Bat Survey: The bats roosting habits change frequently- may not be limited to EDNRR in range	3	2	5	A	R	Short Term	T - Reduce	Simon Lee	Preliminary work in Year 1 to determine areas. This is crucial in this respect in terms of establishing locations, patterns of behaviour, and preferential transfer corridors.	Active	£ 1,250
32	5	LP Board	01/08/2014	Scheme	Scheme	Projects	Project delivery: Individual project risks. Loss of staff leaders, delivery. Results in: Delays in scheme delivery/inability to deliver specific projects.	2	3	5	A	A	Short Term	T - Reduce	Mark Allott	Risk assessments of individual projects as part of project development and on-going project management. Scheme Manager to discuss risk on quarterly basis with all Project leads. Risk rating will depend on size outcomes of individual projects	Active	£ 1,000
32	7	LP Board	01/08/2014	Scheme	Scheme	Finance	Economy: Economic circumstances limit the capacity of delivery partners. Results in: Elements of the delivery would have to be reallocated to other partners or specific projects amended with the potential loss of match funding.	2	3	3	A	A	Medium term	T - Reduce	Ally Kohler	Regular liaison with delivery partners and a robust partnership agreement. Procedures for project board to deliver	Active	£ 1,000
34	21	Mark Allott	19/01/2015	Scheme	Scheme	Finance	Claim payment delay: Delay reimbursing the Project supply chains due to the payment timescales of ~141 days (90+21+10+15+5) may adversely/unacceptably affect business cashflow.	3	1	1	G	G	Short Term	T - Reduce	Mark Allott	- Scheme Manager to submit prompt quarterly HLF Payment Requests and Progress Reports (by 21 March, June, Sept, Dec each year) - Scheme Manager to agree HLF turnaround periods for claim payments - Scheme Manager to monitor HLF turnaround performance and raise as a standing item on HLF Mentor Monitoring meetings - Scheme Manager/DNPA Finance to make payment by BACS to Project Leads within 5 days of HLF payments - Scheme Manager to consider case-by-case bankrolling with Project Leads (see Risk ID 018)	Active	£ 625
34	6	LP Board	01/08/2014	Scheme	Scheme	Governance	Project Partner reform: Changed circumstances for project partners (eg.... reform of statutory bodies). Results in: Altered membership of the Landscape Partnership Board, altered leads for project delivery	3	1	1	G	G	Medium term	T - Reduce	Ally Kohler	Landscape Partnership agreement to address. Regular dialogue through Landscape Partnership Board and active project management.	Active	£ 625

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34	22	Kevin Rylands	18/08/2014	Project	PA1	Vandalism	Disturbance to breeding birds from public	3	1	1	G	G	Long term	T - Reduce	Kevin Rylands	We will avoid attracting attention to the breeding sites of the red-backed shrike, as they are very vulnerable to disturbance from people. However, where birds breed in a suitable location where wardening can allow safe public viewing, we will facilitate this in ways that avoid impacts on the birds. We will inform the public on the vulnerability of many species of birds to disturbance whilst breeding, and encourage good practice (keeping to established paths where possible, keeping dogs on leads during the breeding season).	Active	£ 625
34	50	Sandra Dodd	18/08/2014	Project	PA8	Finance	Too much demand for limit resources resulting in farming community feeling let down	3	1	1	G	G	Short Term	T - Reduce	Bob Bears	The grant will have clear criteria to help identify priorities, clear process and timeline for delivery. If outcomes achieved and landscape features improved significantly - look for other funding	Active	£ 625
34	73	Andy Bailey	18/08/2014	Project	PB6	Delivery	Supporting Volunteers: c.Tools Tools go missing, not properly maintained	3	1	1	G	G	Short Term	T - Reduce	Andy Bailey	Inventory, tools boxed and bagged. Clearly identified as MTMTE. Part of budget kept aside for maintenance and replacement of broken tools	Active	£ 625
34	82	Phil Hutt	18/08/2014	Project	PB9	Resourcing	Scheme will be swamped with applications	3	1	3	G	A	Short Term	T - Reduce	Phil Hutt	Organisations will participate by invitation	Active	£ 625
34	83	Phil Hutt	18/08/2014	Project	PB9	Participation	Scheme will not attract applications	3	1	3	G	A	Short Term	T - Reduce	Phil Hutt	Enlarge total number of participating organisations	Active	£ 625
34	84	Phil Hutt	18/08/2014	Project	PB9	Ineligibility	Inappropriate applications received	3	1	1	G	G	Short Term	T - Reduce	Phil Hutt	Application form must demonstrate evidence of need. Supporting statement to be completed by supervisor.	Active	£ 625
34	86	Mark Beeson	18/08/2014	Project	PB10	Uncontrollable	Bad weather causing cancellation of outdoor activities	3	1	1	G	G	Short Term	T - fallback	Mark Beeson	Book Postbridge Village hall as a secondary space	Active	£ 625
34	115	James Platts	18/08/2014	Project	PC7	Participation	Too many visitors want to use the centre	3	1	1	G	G	Medium term	O - Exploit	James Platts	Keep tight control of KPIs and costs, create cross marketing with other MTMTE locations in order to spread usage	Active	£ 625
34	122	Richard Drysdale	18/08/2014	Project	PC8	Delivery	Building works not completed on time	3	1	4	G	A	Medium term	T - Reduce	Richard Drysdale	Recognising the vagaries of the weather, the programme of works does allow for some time delay. The associated programme of events and opening will not be scheduled within six weeks of the proposed finish to allow for reasonable delays	Active	£ 625
34	124	Richard Drysdale	18/08/2014	Project	PC8	Delivery	No agreement on Whitehorse Hill artefacts	3	1	1	G	G	Medium term	T - Reduce	Richard Drysdale	The discussions already undertaken will ensure that if the Whitehorse Hill artefacts are not suitable for display at Postbridge (due to the display requirements) then replicas will be commissioned and given on loan to the display	Active	£ 625
34	139	Rob Steemson	03/03/2015	Project	PA7	Delivery	Works disrupt or prevent access beyond that planned	3	1	3	G	A	Medium term	T - Reduce	Rob Steemson		Active	£ 625
34	144	Chrissy Mason	07/12/2015	Project	PA3	Schedule	Staffing: There have been competing demands for CE time from other MTMTE projects with a biodiversity content. Further clarity is required on scope of advice re. AES/Countryside Stewardship given advisory support available from non-MTMTE projects and geographical complexities of mid-ties facilitation	3	1	3	G	A	Short Term	T - Reduce	Chrissy Mason	Hoped this will be counter balanced by directly linking these projects (PB2, PB6, PC1, PD2) to Haymeadows outcomes (e.g. community engagement, interpretation, networking and training opportunities).	Active	£ 625
48	3	LP Board	01/08/2014	Scheme	Scheme	Governance	Project Management: Lack of Project Management. Results in: Delays in delivery of the scheme. Potential loss/failure of specific projects.	1	5	5	A	A	Short Term	T - Reduce	Mark Allott	Ensure that there is a robust framework of project management and reporting through the Landscape Partnership Project Manager to the Landscape Partnership Board and to his/her Line Manager. Change of focus for Scheme Manager post to reflect Project and Financial Management	Active	£ 500
48	32	Norman Baldock	18/08/2014	Project	PA3	Finance	Insufficient funding is available through AES to enable landowners to improve habitat condition	1	5	5	A	A	Short Term	T - Reduce	Chrissy Mason	HLS agreements currently in place for some sites and new scheme on the horizon	Active	£ 500
48	49	Sandra Dodd	18/08/2014	Project	PA8	Participation	Poor take up by farmers	1	5	3	A	G	Short Term	T - Reduce	Bob Bears	The project has been developed in consultation with the farming community who identified the need for the scheme. The HFP staff are trusted by the farming community and have a good record of delivery	Active	£ 500
48	51	Sandra Dodd	18/08/2014	Project	PA8	Finance	Farmers use the fund inappropriately or quality of work is not good enough	1	5	3	A	G	Short Term	T - Reduce	Bob Bears	Clear criteria have been drawn up to set out what the grant fund can be used for. farmers are contributing 50% cost so they will also be looking for value for money and quality work	Active	£ 500
48	88	Andy Bailey	18/08/2014	Project	PC1	Safety	Self-Guided trails – risk of users getting lost or hurt	1	5	1	A	G	Long term	T - Reduce	Andy Bailey	Appropriate waymarking and field testing. DNPA has many years experience of designing such leaflets.	Active	£ 500
48	89	Andy Bailey	18/08/2014	Project	PC1	Safety	Events and activities – risk that participants get hurt	1	5	1	A	G	Short Term	T - Reduce	Andy Bailey	suitable risk assessments to be undertaken	Active	£ 500
48	109	James Platts	18/08/2014	Project	PC7	Safety	Injury to Public during construction	1	5	5	A	A	Short Term	T - Transfer	James Platts	Contractor to make proper segregation of site a H&S priority as the site will remain open during construction	Active	£ 500

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48	123	Richard Drysdale	18/08/2014	Project	PC8	Finance	Over budget	1	5	1	A	G	Short Term	T - Transfer	Richard Drysdale	The contract will be awarded to the company that meets all the specified requirements of the contract including delivering within budget. Reasonable additional costs will be able to be met through the overall scheme.	Active	£ 500
48	130	Simon Lee	18/08/2014	Project	PD2	Safety	Poor day to day supervision leading to H&S issues	1	5	1	A	G	Short Term	T - Reduce	Simon Lee	Training coordinator supplemented by in kind time from NNR staff. Training in H&S important	Active	£ 500
48	114	James Platts	18/08/2014	Project	PC7	Monitoring & Evaluation	Targets not met	1	5	5	A	A	Medium term	T - Reduce	James Platts	Project Staff to set out development plan/ strategy during construction phase. Plan and progress reviewed by MTMTE Board. Regular reports to funders	Active	£ 500
58	34	Simon Lee/David Rickwood	18/08/2014	Project	PA4	Finance	Reservoir Improvements: Unexpected costs	1	4	1	A	G	Short Term	T - Transfer	Simon Lee	NE will underwrite additional costs where sensible and appropriate to do so	Active	£ 250
58	52	Sandra Dodd	18/08/2014	Project	PA8	Resourcing	Project Lead Org viability Future of the Hill Farm Project is not secured beyond March 2017	1	4	4	A	A	Long term	T - Transfer	Bob Bears	DNPA would need to lead delivery of the scheme through core staff. Sustainable farming is a high priority for the Authority.	Part-realised	£ 250
58	60	Andy Bailey	18/08/2014	Project	PB2	Finance	Parishes use the fund inappropriately or for individual gain	1	4	4	A	A	Short Term	T - Reduce	Andy Bailey	Clear criteria have been drawn up to set out what the grant fund can be used for	Active	£ 250
58	64	Simon Lee/David Rickwood	18/08/2014	Project	PB4	Participation	Poor recruitment of volunteers.	1	4	4	A	A	Short Term	T - Reduce	Simon Lee	Throughout the Development Phase significant effort has been made to secure volunteer interest and involvement, helped by good links with key partner organisations i.e. Universities, TCVs etc. Recruitment will be supported by the Community Officer	Active	£ 250
58	87	Andy Bailey	18/08/2014	Project	PC1	Vandalism	Information Boards may suffer from vandalism	1	4	3	A	G	Medium term	T - Reduce	Andy Bailey	The design of boards will take account of any potential issues. The DNPA has experience of good design.	Active	£ 250
58	138	Rob Steemson	03/03/2015	Project	PA7	Resourcing	Lack of contractor availability	2	1	5	G	A	Short Term	T - Reduce	Rob Steemson		Active	£ 250
58	145	Chrissy Mason	07/12/2015	Project	PA3	Schedule	Priorities / Time pressures: Because of the capacity and time issues to date and because the CE is managing other time bound projects with similar optimum seasons, priorities need to be established and delivered through careful timetabling and monitoring. If the initial delays due to capacity are not recovered quickly this could affect the project schedule to red status if the optimum condition survey period is missed.	2	1	5	G	A	Short Term	T - Reduce	Chrissy Mason	MTMTE CE to prioritise time to MTMTE projects. Seek DNPA colleague support in advance if forecast to miss key deadlines/dates	Active	£ 250
58	39	Jane Marchand	18/08/2014	Project	PA5	Legal/Permissions/Consent/Planning	Refusal of permissions to lend artefacts for display in VC	2	1	5	G	A	Short Term	T - Reduce	Lee Bray	Ensure Plymouth Museum keeps artefacts on show Post Exhibition	Active	£ 250
66	117	James Platts	18/08/2014	Project	PC7	Monitoring & Evaluation	Outcomes not achieved	1	3	3	G	G	Medium term	T - Reduce	James Platts	Monitor progress through KPIs, adapt plans to manage shortfalls	Active	£ 100
66	137	Rob Steemson	03/03/2015	Project	PA7	Delivery	Poor quality workmanship	1	3	3	G	G	Medium term	T - Reduce	Rob Steemson		Active	£ 100
66	140	Rob Steemson	03/03/2015	Project	PA7	Political	Current Dartmoor pony politics de-value the need for/benefits of the project	1	3	4	G	A	Short Term	T - Accept	Rob Steemson		Active	£ 100
66	1	LP Board	01/08/2014	Scheme	Scheme	Governance	Staffing: Loss of experienced Landscape Partnership Staff. Results in: delay in Scheme delivery and new relationships having to be built	1	3	5	G	A	Long term	T - Reduce	Ally Kohler	Ensure the jobs are suitably graded and evaluated. Active line management and support for all staff. This risk may change as Scheme draws to an end.	Active	£ 100
66	25	Kevin Rylands	18/08/2014	Project	PA1	Participation	We are not able to attract participants to our events and guided walks.	1	3	2	G	G	Short Term	T - Reduce	Kevin Rylands	We have a very experienced visitor experience manager in Devon, who is brilliant at attracting and engaging new audiences. He has a proven record in this area, and has never failed to be popular!	Active	£ 100
66	28	Norman Baldock	18/08/2014	Project	PA2	Resourcing	Failure to get sufficient volunteers or contractors to undertake capital works	1	3	3	G	G	Medium term	T - Reduce	Chrissy Mason	Development phase community engagement work has shown significant interest in natural heritage. Local volunteer groups always looking for interesting project to work on	Active	£ 100
66	30	Norman Baldock	18/08/2014	Project	PA3	Participation	Partner organisations do not contribute	1	3	1	G	G	Short Term	T - Reduce	Chrissy Mason	Discussions have taken place with all partners who are currently enthusiastic to participate	Active	£ 100
66	31	Norman Baldock	18/08/2014	Project	PA3	Participation	Volunteers and local communities do not get involved	1	3	5	G	A	Short Term	T - Reduce	Chrissy Mason	Several groups have been involved in similar work and recent meetings indicate they are keen to contribute here	Active	£ 100
66	36	Simon Lee/David Rickwood	18/08/2014	Project	PA4	Construction	Reservoir Improvements: Rafts fail to grow	1	3	4	G	A	Long term	T - Reduce	Simon Lee	Rafts will be created by specialist contractors with many years of experience	Active	£ 100
66	47	Andy Watson	18/08/2014	Project	PA6	Legal/Permissions/Consent/Planning	Commons consent for all ability car park not achieved	1	3	5	G	A	Short Term	T - Reduce	Andy Watson	Local people have been consulted and are happy with proposals	Active	£ 100
66	56	Jane Marchand	18/08/2014	Project	PA9	Participation	People do not attend guided walks and talks programmes	1	3	1	G	G	Short Term	T - Reduce	Andy Bailey	Walks and talks will be promoted through the scheme website	Active	£ 100
66	57	Jane Marchand	18/08/2014	Project	PB1	Participation	Local community not engaged with the project	1	3	4	G	A	Short Term	T - Reduce	Andrew Watson	These projects have come from development of the scheme and are based on the Landscape and Access Plan which was produced in consultation with local people	Active	£ 100

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66	58	Jane Marchand	18/08/2014	Project	PB1	Delivery	Projects not delivered on time	1	3	4	G	A	Medium term	T - Reduce	Andrew Watson	Projects planned in two phases to allow key projects to take place first and then ones which require further development to be delivered	Active	£ 100
66	59	Andy Bailey	18/08/2014	Project	PB2	Participation	poor take up by parishes	1	3	4	G	A	Medium term	T - Reduce	Andy Bailey	The project has been developed as a grant scheme to be flexible to meet the needs of different parishes in conjunction with representatives from the local Stakeholders group The Community Heritage Officer will run an awareness raising campaign in each parish; visiting different groups within parishes to develop further interest in the project	Active	£ 100
66	62	Keith McKay	18/08/2014	Project	PB3	Participation	Failure to recruit enough volunteer researchers to complete the project in the timescale.	1	3	3	G	G	Short Term	T - Reduce	Keith McKay	Work with Community officer and Heritage Officer to recruit volunteers. Use of website and local links	Active	£ 100
66	67	Andy Bailey	18/08/2014	Project	PB6	Participation	Recruiting Volunteers: a. Recruiting Volunteers Cannot recruit enough volunteers to deliver scheme	1	3	4	G	A	Short Term	T - Reduce	Andy Bailey	Appoint volunteer coordinator as part of MTMTE Project team. Annual recruitment drive, high profile, good publicity. Good website. Good community links developed	Active	£ 100
66	71	Andy Bailey	18/08/2014	Project	PB6	Participation	Supporting Volunteers: a. Skills Share training/ network (6 events per year) Volunteers do not offer to lead skills share training	1	3	4	G	A	Short Term	T - Reduce	Andy Bailey	Work with individuals and groups. Budgeted for 2 external trainers per year if training need cannot be met within the network. Offer training to potential skills share trainers if required	Active	£ 100
66	90	Anne Whitbourn	18/08/2014	Project	PC4	Resourcing	Not enough volunteers to complete research and development of the trail	1	3	4	G	A	Short Term	T - Reduce	Anne Whitbourn	Recruitment campaign led by Community and events officer as part of PB6. DTRG open days in Parishes, DTRG website, newsletter	Active	£ 100
66	107	James Platts	18/08/2014	Project	PC7	Safety	H&S incident during construction	1	3	5	G	A	Short Term	T - Reduce	James Platts	From design stage incorporates H&S, gain F10 for CDM regulations, and ensure hand over of site RA's completed. Use reputable contractors with proven track record	Active	£ 100
66	120	Richard Drysdale	18/08/2014	Project	PC8	Legal/Permissions/Consent/Planning	Proposed plans are not granted planning permission	1	3	4	G	A	Short Term	T - Reduce	Richard Drysdale	Work to date has involved the relevant planning authority and the footprint of the building will not change in any wholesale manner. The local buy-in as above will hold significant weight at the point of planning decision.	Active	£ 100
66	128	Simon Lee	18/08/2014	Project	PD2	Resourcing	Poor recruitment of graduates	1	3	3	G	G	Medium term	T - Reduce	Simon Lee	From experience demand for vocational experience from graduates is high	Active	£ 100
66	133	Rev. Geoffrey Fenton	18/08/2014	Project	PD3	Participation	Farm manager and staff unwilling to undertake training	1	3	3	G	G	Medium term	T - Reduce	Rev. Geoffrey Fenton	Project has been developed by TST and farm manager and staff. Good buy-in	Active	£ 100
66	113	James Platts	18/08/2014	Project	PC7	Participation	Visitors not engaged	1	3	3	G	G	Medium term	T - Reduce	James Platts	Start Marketing plan before construction is completed, raise profile in the press. Work with other DNPA to raise profile	Active	£ 100
66	40	Jane Marchand	18/08/2014	Project	PA5	Participation	Volunteers & Local Communities do not get involved	1	3	3	G	G	Short Term	T - Reduce	Lee Bray	Several vols/groups already involved	Active	£ 100
90	33	Simon Lee/David Rickwood	18/08/2014	Project	PA4	Legal/Permissions/Consent/Planning	Reservoir Improvements: Lack of support from public	1	2	5	G	A	Short Term	T - Reduce	Simon Lee	Project developed after extensive public consultation. Pre-application discussions with the LPA have already filtered the potentially significant issues	Active	£ 50
90	35	Simon Lee/David Rickwood	18/08/2014	Project	PA4	Legal/Permissions/Consent/Planning	Reservoir Improvements: Works negatively affect wildlife	1	2	4	G	A	Short Term	T - Reduce	Simon Lee	Environmental impact assessment undertaken, works will be timed to minimise disturbance to wildlife, supervised by trained staff	Active	£ 50
90	46	Andy Watson	18/08/2014	Project	PA6	Participation	Problem recruiting for Friends group	1	2	4	G	A	Short Term	T - Reduce	Andy Watson	Some work done through the development phase, focus group visits in the first year for people with specific interest in old buildings	Active	£ 50
90	69	Andy Bailey	18/08/2014	Project	PB6	Resourcing	Recruiting Volunteers: c. Heritage Champions Cannot recruit 10 Heritage Champions with the necessary skills	1	2	4	G	A	Short Term	T - Reduce	Andy Bailey	Set realistic target. Will aim at heritage groups as well as wider public. Will offer basic training to those recruited	Active	£ 50
90	70	Andy Bailey	18/08/2014	Project	PB6	Participation	Supporting Volunteers: a. Skills Share training/ network (6 events per year) Volunteers do not attend training	1	2	4	G	A	Short Term	T - Reduce	Andy Bailey	Volunteer groups invited to attend through existing networks and contacts. Training will be chosen by groups in the skills share network and will be relevant to their heritage needs	Active	£ 50
90	72	Andy Bailey	18/08/2014	Project	PB6	Resourcing	Supporting Volunteers: b. Supporting new groups with start up fund Cannot get 10 new groups set up	1	2	4	G	A	Short Term	T - Reduce	Andy Bailey	Modest budget to provide basic set up help. The Heritage Officer and Community and events officer will be working with and supporting many communities across the area and will help groups of people come together if beneficial to the heritage of the community	Active	£ 50
90	78	Peter Mason	18/08/2014	Project	PB7	Finance	Income from sales of the book, not met.	1	2	1	G	G	Long term	T - Reduce	Emma Stockley	Based on previous publications it is expected this target can be met	Active	£ 50
90	81	Anne Came	18/08/2014	Project	PB8	Finance	Poor uptake of leaflet and booklet	1	2	1	G	G	Medium term	T - Fallback	Mark Allott	Ponies are an iconic part of Dartmoor. Visitors want to know more about the ponies	Active	£ 50
90	121	Richard Drysdale	18/08/2014	Project	PC8	Resourcing	No contractor found to deliver work to time and budget	1	2	5	G	A	Short Term	T - Reduce	Richard Drysdale	As a year two project, the lead in time means that liaison with the architect and quantity surveyor already undertaken has identified an appropriate design to match the budget. A timetable of works has been established to ensure planning permission has been granted, tenders sought and work delivered	Active	£ 50

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99	118	James Platts	18/08/2014	Project	PC7	Resourcing	Key staff moved to other work	1	1	1	G	G	Short Term	T - Fallback	James Platts	Keep all records centrally at SWLT HQ within SWLT filing system. Update operations manual with new procedures as and when new activities commence	Active	£ 25
99	94	Ally Kohler	18/08/2014	Project	PC6	Information	The NPA website is removed due to lack of resources.	1	1	1	G	G	Short Term	T - Reduce	Ally Kohler	Extremely unlikely. MTMTE website under development as part of Project PE6	Active	£ 25
99	26	Norman Baldock	18/08/2014	Project	PA2	Participation	Unwillingness of some owners to take part	1	1	4	G	A	Short Term	T - Reduce	Chrissy Mason	Through conversations in the development phase it is known that the main landowner and some others are keen to get involved.	Active	£ 25
99	48	Rob Steemson	18/08/2014	Project	PA7	Legal/Permissions/Consent/Planning	The main risk is a land owner (or commoners association where appropriate) not agreeing to support the project.	1	1	5	G	A	Short Term	T - Reduce	Rob Steemson	These projects have been developed with landowners, community and board members	Active	£ 25
99	54	Sandra Dodd	18/08/2014	Project	PA8	Safety	Physical risks of delivery e.g. roadside working/ lifting stone etc.	1	1	1	G	G	Short Term	T - Reduce	Bob Bearns	All contractors to have risk assessments for each site and job. Risk is with contractor	Active	£ 25
99	61	Andy Bailey	18/08/2014	Project	PB2	Ineligibility	Parish projects do not represent the whole parish	1	1	4	G	A	Short Term	T - Reduce	Andy Bailey	A panel will be set up to look at each application. They will want to see evidence of parish support for the proposed project- support from parish/town council, partnership working with other local groups, grass roots support from community.	Active	£ 25
99	63	Keith McKay	18/08/2014	Project	PB3	Participation	Some of the parishes fringing the Dartmoor Forest area not wishing to be involved.	1	1	3	G	G	Short Term	T - Reduce	Keith McKay	This project has been developed by talking to local communities. It is about connecting people who might not otherwise engage with Heritage officer will work to enthuse communities to get involved. If people could not be engaged then spread of project might be smaller or they may come on board later.	Active	£ 25
99	65	Simon Lee/David Rickwood	18/08/2014	Project	PB4	Participation	Insufficient support and participation in public events and activities.	1	1	1	G	G	Short Term	T - Reduce	Simon Lee	During the development phase the project has sought to create new links and lines of dialogue with community groups. Events have been trialled and feedback from local communities has shaped the proposed programme.	Active	£ 25
99	68	Andy Bailey	18/08/2014	Project	PB6	Participation	Recruiting Volunteers: b.Engaging youth groups- minibus hire Youth groups do not want to engage	1	1	3	G	G	Short Term	T - Reduce	Andy Bailey	Youth groups will be targeted from right across the area as far out as Exeter, Torbay and Plymouth. A small sum of money is available to cover minibus costs to get to the moor for groups without transport	Active	£ 25
99	74	Andy Bailey	18/08/2014	Project	PB6	Delivery	Supporting Volunteers: c.Tools Tools resource underused	1	1	1	G	G	Short Term	T - Reduce	Andy Bailey	Tools stored in easily accessible location. Well publicised	Active	£ 25
99	75	Andy Bailey	18/08/2014	Project	PB6	Participation	Celebration of Volunteering Event Not supported by volunteers	1	1	1	G	G	Long term	T - Reduce	Andy Bailey	Events well planned in conjunction with local volunteers. Well publicised	Active	£ 25
99	76	Peter Mason	18/08/2014	Project	PB7	Participation	Failure to recruit enough volunteer researchers to complete the project in the timescale.	1	1	4	G	A	Medium term	T - Reduce	Emma Stockley	Project has developed with support of Lustleigh Society and other local history groups. It will be supported by the Community officer in recruiting volunteers	Active	£ 25
99	79	Anne Came	18/08/2014	Project	PB8	Participation	Fail to recruit enough volunteers	1	1	3	G	G	Short Term	T - Reduce	Mark Allott	Work with Community officer (PB6 Managing Volunteers) Links with pony groups through Pony Action Group good	Active	£ 25
99	80	Anne Came	18/08/2014	Project	PB8	Participation	Pony keepers not engaged	1	1	1	G	G	Short Term	T - Reduce	Mark Allott	This project has been developed with pony keepers to promote the ponies on Dartmoor to the wider public and raise awareness	Active	£ 25
99	96	Ally Kohler	18/08/2014	Project	PC6	Participation	The public do not engage with this project	1	1	1	G	G	Medium term	T - Reduce	Ally Kohler	Promote further outreach activities and partners websites.	Active	£ 25
99	97	Ally Kohler	18/08/2014	Project	PC6	Legal/Permissions/Consent/Planning	Routes cause management problems	1	1	1	G	G	Medium term	T - Reduce	Ally Kohler	Routes can be taken of at the discretion of the NPA as lead partner. All routes will be checked to ensure that they are on legal routes or access land	Active	£ 25
99	110	James Platts	18/08/2014	Project	PC7	Construction	Negative response by local residents to construction traffic on small roads	1	1	1	G	G	Short Term	T - Transfer	James Platts	Confirm with contractor preferred times for delivery and control of lorries in road is their responsibility	Active	£ 25
99	112	James Platts	18/08/2014	Project	PC7	Publicity	VIP not available to open project	1	1	1	G	G	Medium term	T - Reduce	James Platts	When contractor has confirmed project timescales approach VIP's with DNPA	Active	£ 25
99	119	Richard Drysdale	18/08/2014	Project	PC8	Participation	No buy-in from local community for proposed design and project scope	1	1	4	G	A	Short Term	T - Reduce	Richard Drysdale	The aims and objectives of the Postbridge Visitor centre upgrade have been extensively discussed with the local community, local organisations and relevant National Park staff. The final designs will proceed once a majority agreement is reached. Carry out Member consultation through the Strategic Planning Working Group and public engagement during design development	Active	£ 25
99	125	Richard Drysdale	18/08/2014	Project	PC8	Participation	Not attracting visitors	1	1	1	G	G	Long term	T - Reduce	Richard Drysdale	Postbridge Visitor Centre already receives in the region of 50,000 visitors per annum and much of the coach trade is repeat annual visits. The publicity and promotional programme around Whitehorse Hill will generate significant interest and visits	Active	£ 25

Rank	Risk ID No.	Risk Author	Date identified	Risk Level	Project ref	Risk Category	Risk Description (Cause, Event, Effect)	Probability	Cost Impact	Time Impact	Risk: Cost	Risk: Time	Proximity	Response Category	Risk Owner	Response/Mitigation/Actions	Status	Manual calculation of value of individual risks to establish notional cost
99	126	Richard Drysdale	18/08/2014	Project	PC8	Finance	Lack of income from associated sales	1	1	1	G	G	Long term	T - Reduce	Richard Drysdale	Working with Plymouth Museum, Dartmoor National Park Authority will have a robust retail strategy to ensure that associated items for sale are of an appropriate quality and relevance and we will have had more than 18 months market research with Plymouth Museum and National Park Visitor Centre, Princetown.	Active	£ 25
99	129	Simon Lee	18/08/2014	Project	PD2	Delivery	Lack of co-ordination of delivery and training requirements	1	1	1	G	G	Short Term	T - Fallback	Simon Lee	Recognised this as an issue and have budgeted for a training coordinator	Active	£ 25
99	131	Simon Lee	18/08/2014	Project	PD2	Participation	Lack of on-site support from MTMTE partners	1	1	1	G	G	Short Term	T - Reduce	Simon Lee	Training could be given just on NNR but value to student and scheme much increased if working with partners. LPS fully behind scheme.	Active	£ 25
99	132	Rev. Geoffrey Fenton	18/08/2014	Project	PD3	Delivery	Site workshop not developed in time	1	1	4	G	A	Medium term	T - Reduce	Rev. Geoffrey Fenton	Good project management	Active	£ 25
99	134	Rev. Geoffrey Fenton	18/08/2014	Project	PD3	Participation	Training not taken up	1	1	1	G	G	Medium term	T - Reduce	Rev. Geoffrey Fenton	Volunteers, farmers and businesses were consulted and they expressed a need for training in rural skills	Active	£ 25
99	135	Rev. Geoffrey Fenton	18/08/2014	Project	PD3	Legacy	Training programme not run beyond project	1	1	1	G	G	Long term	T - Reduce	Rev. Geoffrey Fenton	By training the farm manager and staff we are creating a pool of trainers who can run training in the future	Active	£ 25
99	37	Simon Lee/David Rickwood	18/08/2014	Project	PA4	Legal/Permis sions/Consent/Planning	Woodland Restoration: Work may affect cultural or wildlife heritage	1	1	3	G	G	Short Term	T - Reduce	Simon Lee	Work with site users and specialist interest groups to advise on potential conflicts	Active	£ 25
99	41	Jane Marchand	18/08/2014	Project	PA5	Participation	Partner organisations do not want to contribute	1	1	3	G	G	Short Term	T - Reduce	Lee Bray	Partners already committed to various projects, unlikely to change	Active	£ 25
127	66	Rev. Geoffrey Fenton/Margaret Rogers	18/08/2014	Project	PB5		NONE IDENTIFIED - "Risks are low for development of the interpretation, village trail and the booklet for Walks from Widecombe."				#N/A	#N/A	Short Term		Rev. Geoffrey Fenton		Active	£ -
127	92	Anne Whitbourn	18/08/2014	Project	PC4	Legal/Permis sions/Consent/Planning	Landowners permission required				#N/A	#N/A			Anne Whitbourn	Andy Bradford, the owner of Brimpts farm has given his permission for the trail improvements and is fully supportive of the existing trail and this project	Active	£ -


Key:	
	Change from previous QRR
	Queries/needs data

Total notional MCoV risk value		£	195,675
Scheme Budget		£	3,843,183
Quantified Risk Register			5.1%
Realised Risk value		£	113,745
Total Risk provision		£	309,420
Total Risk provision			8.1%

Business Plan Priorities - Quarterly Monitoring

Priority/ Action No.	Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
1(6)	MTMTE With funding from the MTMTE scheme improve management and understanding of Bronze Age landscape on Dartmoor through a programme of survey, research, excavation, interpretation and conservation management works focused on Whitehorse Hill, Sittaford Stone Circle and the high moorland forests.	LB		Milestones/expected progress: Implement geo-physical survey. Clear sites at Fernworthy with volunteers. Actual Progress: Both elements completed.	Milestones/expected progress: Walkover surveys utilising volunteers. Actual Progress: Successfully completed	Milestones/expected progress: Excavation of Sittaford Stone Circle. Exhibition of replica White Horse Hill finds at Postbridge visitor centre Fernworthy guide completed – publication in Actual Progress: Project schedule re-baselined. Excavation delayed at Sittaford and Hangingstone Hill by 1 year to Y2 Q4/Yr3 Q1 due to staff changes at DNPA. This provides additional, time for planning and fieldwork which was not available in the original schedule.	Milestones/expected progress: Complete White Horse Hill survey report and HER accession Issue brief for Hangingstone Hill geophysics survey of cairn Actual Progress: Excavation at Sittaford won't happen this year but is planned for 2016/17.
1(3)	MTMTE Implement the Natural Connections and Haymeadows Projects as a landscape scale initiative to improve the quality of these environmental assets.	CM		Milestones/expected progress: 1. Haymeadows - site visits with owners. Assess condition and agree actions. 2. Rhos pastures - contact owners, start planning integrated works. Actual Progress: All started and shared through staff training day	Milestones/expected progress: 1. Develop outline plans. Deliver guided walks. 2. Draw up plans to treat invasive species. Actual Progress: Guided walks were delivered and over - subscribed. Other elements started but not completed	Milestones/expected progress: 1. Volunteer work parties and contractors on site. 2. Develop research on Willow Tit and Bog Hoverfly with volunteers and universities. Actual Progress: Work has started on identifying management works with landowners. Willow Tit research underway by Devon Bird group. Bog Hoverfly post-graduate student research subject to funding/recruitment.	Milestones/expected progress: 1. Volunteer work parties and contractors on site. 2. Progress by funding research Actual Progress:
1(8)	MTMTE Target management of six scheduled monuments to remove them from the Heritage at Risk register.	AC		Milestones/expected progress: No work done in 1st and 2nd Q due to bird breeding Actual Progress:	Milestones/expected progress: Actual Progress:	Milestones/expected progress: Deliver works on the ground Actual Progress: Work planned to be delivered in Q4	Milestones/expected progress: Improvement works on 6 Monuments at Risk Actual Progress:
2(4)	MTMTE Implement repairs to three pounds/driftways to ensure their conservation and continued use for the farming community.	RS		Milestones/expected progress: Ensure all approvals in place and agree works. Get quotes. Actual Progress: Work started	Milestones/expected progress: Actual Progress: All; works planned and agreed will be delivered in Q3	Milestones/expected progress: Bel Tor driftway Works at East Shallowford . Poundsgate pound. Actual Progress: Work on Poundsgate Pound all completed by the DNPA Conservation Works team in December. Bel Tor driftway work has been agreed with landowner. Granite setts being ordered and contractor ready to do work in February. The work at Shallowford is on hold as agreed.	Milestones/expected progress: Implement scheme at Bel Tor Actual Progress:
4(7)	MTMTE Work with the local community, Forestry Commission and other partners to develop and deliver recreational trails, interpretive media and visitor management for the	AW		Milestones/expected progress: Develop routes based upon feedback from community. Report to LT on car park charging at Postbridge.	Milestones/expected progress: Consult with community. Undertake safety audit.	Milestones/expected progress: Develop routes and consult with landowners, local community and other stakeholders	Milestones/expected progress: Implement and promote two new routes.

Priority/ Action No.	Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
	Postbridge and Bellever area.			Actual Progress: Completed G	Actual Progress: Behind schedule but progress is being made and spend re-profiled through MTMTE A	Actual Progress: Five trail routes identified and surveyed over the summer. Negotiations with landowner and community consultations to be completed for some routes. Ground works to trails in forest area due to be carried out during winter months subject to ground conditions. A	Actual Progress:
6(6)	MTMTE Develop the Dartmoor Diploma - a programme of training to support key skills needed to manage the landscape and heritage of Dartmoor.	MA		Milestones/expected progress: Develop new focus to reduce risk and ensure the Dartmoor Diploma proceeds. Actual Progress: Meeting with Duchy of Cornwall, refocus agreed. Potential to link with MOORSKILLS. Awaiting revised proposal. Delayed and some concern. R	Milestones/expected progress: ITT for delivery agreed Actual Progress: Completed. ITT will be advertised in October R	Milestones/expected progress: ITT for delivery agreed Actual Progress: Training Coordinator agreed to be provided via a service provider rather than job advert. Revised ITT completed. Tender process in Q4 A	Milestones/expected progress: Training Coordinator ITT issued Training Coordinator contract award Actual Progress:
1(5)	MTMTE Make improvements to the fabric and public access to Higher Uppacott in line with proposals approved through the MTMTE scheme.	AW		Milestones/expected progress: Appoint contractor for windows and thatch. Implement new windows. Actual Progress: Completed. G	Milestones/expected progress: Complete thatching across all elevations. Actual Progress: Completed G	Milestones/expected progress: Start internal works. Actual Progress: Internal works to remove contemporary materials removed. Further investigations required to hall. Proposals for re-instatement being finalised. ON TARGET G	Milestones/expected progress: Contractor appointed to manage internal restoration works Actual Progress:
1(7)	MTMTE Carry out archaeological baseline survey of the Rippon Tor area (one of Dartmoor's Premier Archaeological Landscapes which contains 130ha of Scheduled Ancient Monuments).	AC		Milestones/expected progress: Complete Rippon Tor survey. Actual Progress: Completed. G	Milestones/expected progress: Add information to HER and decide on any works. Actual Progress: Started will be completed in Q3 A	Milestones/expected progress: Final Report received and approved. Actual Progress: Complete G	COMPLETED ✓
1(9)	MTMTE Organise a Community dig at North Hall Manor, Widecombe and continue to work with local communities to explore their Medieval landscape and organise a community workshop to share knowledge.	AC		Milestones/expected progress: Pre-planning and consultation. Contract let. Actual Progress: All completed ready to deliver in July G	Milestones/expected progress: Community Dig to take place w/c 13 July. Actual Progress: Completed G	COMPLETED ✓	
3(1)	MTMTE Act as the lead partner for the Moor than meets the eye Heritage Lottery funded Landscape Partnership Scheme.	MA		Milestones/expected progress: Submit quarterly returns on time. Leadership Team and Audit & Governance reports. Project Board meetings. Liaise with HLF.	Milestones/expected progress: Submit quarterly returns on time. Leadership Team and Audit & Governance reports. Project Board meetings. Liaise with HLF.	Milestones/expected progress: Submit quarterly returns on time. Leadership Team and Audit & Governance reports. Project Board meetings. Liaise with HLF.	Milestones/expected progress: Submit quarterly returns on time. Leadership Team and Audit & Governance reports. Project Board meetings. Liaise with HLF.

Priority/ Action No.	Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)			
				Actual Progress: Quarterly claim to HLF submitted. LT report. A&G report missed. Project Board meeting. Mentor meeting.	A	Actual Progress: Will report to Authority in December	G	Actual Progress: All delivered on time	G	Actual Progress:
4(9)	MTMTE Complete an interactive heritage expedition map to help people understand and plan interesting walks based upon landscape, ecology and archaeology of Dartmoor.	AK		Milestones/expected progress: Complete functionality and trial.	G	Milestones/expected progress: 6 routes uploaded	R	Milestones/expected progress: Soft launch in January. Introduce HT map to Ten Tors groups	G	Milestones/expected progress:
				Actual Progress: Completed. LT, MTMTE project leads have seen the map and Lunch and Learn session planned to promote development of trails.	G	Actual Progress: Not achieved due to workloads	R	Actual Progress: Map ready to soft launch in January. Pilot trails being developed .	G	Actual Progress:
6(7)	MTMTE Roll out the Parishscapes project in the <i>Moor that meets the eye</i> area to support local communities to record, share and conserve sites of local interest.	ES		Milestones/expected progress: Work with four pilot parish projects (Ashburton, North Bovey, Lustleigh and Moretonhampstead).	G	Milestones/expected progress: Grant approved to four pilot parishes. 5 year 2 parishes identified.	G	Milestones/expected progress: Work to engage year 2 parishes and approval of outstanding year 1 pilot parish grants	G	Milestones/expected progress:
				Actual Progress: 4 parishes engaged, no £ yet but good progress. Schemes agreed in all four parishes	G	Actual Progress: 6 parishes now engaged and project on target to deliver	G	Actual Progress: 8 parishes now engaged, of which, three are developing project ideas, one is awaiting panel approval, three have partially spent their Parishscape budgets and one has had their entire Parishscape allowance approved.	G	Actual Progress:

KEY

PRIORITIES

- 1 Conservation of the Natural and Historic Environment
- 2 Work to support a sustainable farming economy
- 3 Be an excellent organisation
- 4 Promote a positive experience of Dartmoor National Park for residents and visitors
- 5 Work towards ensuring Dartmoor has a thriving local economy
- 6 Improve support to and engagement with local communities

Business Plan Priorities (2016-2017) - Quarterly Monitoring

Theme	Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
SUSTAIN	9	Act as the Lead Body for Moor than Meets the Eye landscape partnership scheme and deliver the following projects where the Authority is the lead partner: - Haymeadows - Natural Connections - Unveiling the heritage of the High Moor and Forests - Higher Uppacott - Ponies, Pounds and Driftways - Ancient Boundaries, Modern Farming - Parishscapes - Moor Medieval	P1 P1 P1 P1, P3 P1, P2 P1, P2 P1, P5 P1, P5	CM CM LB AW RS HFPO ES BCO	Milestones:	Milestones:	Milestones:	Milestones:
					Progress:	Progress:	Progress:	Progress:
ENJOY	13	Deliver Moor than Meets the Eye projects where the Authority is the lead partner: - Heritage Trails (full launch) - Bellever and Postbridge Trails - Postbridge Visitor Centre - Discovering the Dartmoor Story	P3, P4, P5 P3, P4, P5 P3, P4, P5 P3, P5	AK ID RD AB	Milestones:	Milestones:	Milestones:	Milestones:
					Progress:	Progress:	Progress:	Progress:
PROSPER	25	Deliver Moor than Meets the Eye projects where the Authority is the lead partner: - Welcome to Widecombe - Managing Volunteers - Dartmoor Diploma	P3, P4, P5 P4, P5, P6 P4, P5	ABy ABy MA	Milestones:	Milestones:	Milestones:	Milestones:
					Progress:	Progress:	Progress:	Progress:

- P1** Conservation of the natural and historic environment
- P2** Work to support a sustainable farming economy
- P3** Promote a positive experience of Dartmoor National Park for residents and visitors
- P4** Work towards ensuring Dartmoor has a thriving local economy
- P5** Improve support to and engagement with local communities
- P6** Be an excellent organisation