devon **audit** partnership

Internal Audit Final Report

Dartmoor National Park Authority

Key Financial Systems Review 2016-17

July 2016

OFFICIAL

Auditing for achievement

Devon Audit Partnership

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The Partnership is committed to providing high quality, professional customer services to all; if you have any comments or suggestions on our service, processes or standards, the Head of Partnership would be pleased to receive them at robert.hutchins@devonaudit.gov.uk.

Confidentiality and Disclosure Clause

1   Introduction

Section 151 of the Local Government Act 1972 requires that every local authority in England and Wales should "... make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has responsibility for the administration of those affairs". The Head of Business Support, as the responsible financial officer, has this statutory responsibility and must establish an appropriate control environment and effective internal controls for all financial activity and systems of the Dartmoor National Park Authority (DNPA).

An effective internal audit service reports on, and gives an objective opinion to management, on the effectiveness of the control environment and internal controls in managing the risks, including the financial risks, facing the Authority. This audit was undertaken as part of the annual plan agreed with the Head of Business Support. The review of the financial systems in operation throughout the Authority was undertaken during July 2016.

Our summary opinion is provided below. This is based on a review of the effectiveness of the controls to mitigate the exposure to the identified risks, the results of walkthrough testing and reviewing a restricted sample of transactions and/or documentation.

2   Audit Opinion

High Standard - The system and controls in place adequately mitigate exposure to the risks identified. The system is being adhered to and substantial reliance can be placed upon the procedures in place. We have made only minor recommendations aimed at further enhancing already sound procedures.

3   Executive Summary

The Finance Department of the Authority have a comprehensive understanding of the financial administration of Dartmoor National Park Authority and are closely involved with its day to day running. There are effective controls in place within the systems reviewed which mitigate key financial risks. This is much to the credit of the Finance Department at the Authority.

The detailed findings and recommendations regarding these issues and less important matters are described in the Appendices. Recommendations have been categorised to aid prioritisation. Definitions of the priority categories and the assurance opinion ratings are also given in the Appendices to this report.

4   Assurance Opinion on Specific Sections

The following table summarises our assurance opinions on each of the areas covered during the audit. These combine to provide the overall assurance opinion at Section 2. Definitions of the assurance opinion ratings can be found in the Appendices.

	Risk Areas Covered	Level of Assurance
1	The Main Accounting System may not comply with accounting standards and may not accurately report the financial standing of the organisation	High Standard
2	Spend against the organisations budget may not be suitably controlled and reported, resulting in the risk of overspend	High Standard
3	Bank reconciliation procedures may not be effective and errors or discrepancies may not be promptly identified and addressed.	High Standard
4	Inadequate or inappropriate inventory held.	High Standard
5	Non-compliance with Treasury Management statutory requirements, regulations and best practice.	High Standard
6	Financial loss and undetected error or fraud	High Standard
7	Income due to the organisation may not be suitably controlled (Invoice raising, income collection and banking).	High Standard
8	Purchasing arrangements and payments to creditors may not be secure or effective resulting in incorrect and / or unauthorised payments.	High Standard
9	The Payroll (Salaries and Wages) may not be suitably controlled resulting in incorrect and/ or unauthorised payments being made	High Standard

The findings and recommendations in relation to each of these areas are discussed in the "Detailed Audit Observations and Action Plan" appendix. This appendix records the action plan agreed by management to enhance the internal control framework and mitigate identified risks where agreed. Management are required to agree an action plan, ideally within three weeks of receiving the draft internal audit report. Written responses should be returned to Claire Moore (claire.moore@devonaudit.gov.uk). Alternatively a meeting to discuss the report and agree the action plan should be arranged with the named auditor.

5 Issues for the Annual Governance Statement

The evidence obtained in internal audit reviews can identify issues in respect of risk management, systems and controls that may be relevant to the Annual Governance Statement.

Based on the evidence we have found in this audit, there are no issues arising that would warrant inclusion in the Annual Governance Statement.

6 Scope and Objectives

Main Accounting System:
To ensure that the Main Accounting System is operated in accordance with the organisation's Financial Regulations so that the Authority's financial position is accurately reported.

Bank reconciliation:
To ensure that bank reconciliation procedures are carried out efficiently and effectively to safeguard the Authority's financial balances.

Inventories / Disposals:
To ensure that there are reasonable procedures to record, monitor and safeguard assets owned by the authority.

Income and Cash Collection:
To confirm that income due to the organisation is suitably controlled (invoice raising, income collection and banking).

Ordering and Payments:
To ensure that purchasing is carried out in compliance with the Authority's financial regulations, Instructions for Procurement and also European procurement regulations (EU Procurement Directive 2015) so that the Authority obtains the best value for money.

Investments:
To review and ensure that regulatory requirements, performance targets and best practice expectations are met. To ensure controls are in place to prevent financial loss as a result of error or fraud.

Payroll and Travel Expenditure:
To confirm that Payroll and Travel Expenditure is suitably controlled resulting in correct and / or authorised payments being made.

7   Inherent Limitations

The opinions and recommendations contained within this report are based on our examination of restricted samples of transactions / records and our discussions with officers responsible for the processes reviewed.

8   Acknowledgements

We would like to express our thanks and appreciation to all those who provided support and assistance during the course of this audit.

Robert Hutchins
Head of Partnership

Appendix A

Detailed Audit Observations and Action Plan

1. Risk Area Covered: The Main Accounting System may not comply with accounting standards and may not accurately report the financial standing of the organisation	**Level of Assurance**
Opinion Statement: The Authority continues to use FINEST as its Main Accounting System. The system is supported by the 'FINEST' team at Devon County Council who also maintain the programme and act as system administrators dealing with amendments to access rights for example. The established system controls ensure compliance with accounting standards and also provide a good audit trail. We found sound controls in place regarding which officers have access to the system and we found suitable restrictions in place to prevent unauthorised use. All journals reviewed including accruals and pre-payments were found to be fully supported and valid.	**High Standard**
No observations and recommendations recorded.	

2. Risk Area Covered: Spend against the organisations budget may not be suitably controlled and reported, resulting in the risk of overspend	**Level of Assurance**
Opinion Statement: The system supports the budget monitoring process and the Finance Team's ability to report to Committee on income and expenditure throughout the year as required by the Authority's financial regulations. Budget holders and members of the Leadership Team are provided with regular budget monitoring reports, which were found to be sound and provides clear commentary in relation to variations. The budget information being provided to the Audit and Governance Committee and Dartmoor National Park Authority to inform their decision making was found to be of good quality and comprehensive. All of these factors have enabled the Auditor to offer a high level of assurance in this area. There is clear evidence that the approved annual budget is uploaded to the financial system. This in turn is closely monitored by the Head of Business Support with procedures in place to ensure that the expenditure is controlled within the agreed levels. The Authority has not earmarked any capital spending for 2016/17, with any capital items being funded from revenue.	**High Standard**
No observations and recommendations recorded.	

3. Risk Area Covered: Bank reconciliation procedures may not be effective and errors or discrepancies may not be promptly identified and addressed.	**Level of Assurance**
Opinion Statement: Since the previous audit, Dartmoor National Park has opened a new bank account "Donate for Dartmoor". The audit confirmed that the correct procedures were followed, and was in line with the requirements of the financial regulations. Bank reconciliations are carried out effectively and efficiently and relatively promptly for all bank accounts, usually within one month. Access to the banking system was found to be well controlled, with no issues identified, enabling high standard to be given.	**High Standard**
No observations and recommendations recorded.	

4. Risk Area Covered: Inadequate or inappropriate inventory held.	**Level of Assurance**
Opinion Statement: The control framework in respect of inventories was found to be robust, and there was a good audit trail to demonstrate compliance with the framework, thereby the risk in this area is deemed to be mitigated enabling a high level of assurance to be awarded in this area. It is also pleasing to note that a recommendation made in this area at the 2015/16 review regarding the authorisation of asset disposal has been implemented and the appropriate delegation and separation of duties is now in place.	**High Standard**
No observations and recommendations recorded.	

5. Risk Area Covered: Non-compliance with Treasury Management statutory requirements, regulations and best practice.	**Level of Assurance**
Opinion Statement: There was no evidence of non-compliance with Treasury Management regulations, and the control framework surrounding this was found to be robust. The corporate governance around investments was considered sound including having the relevant policies and formalised financial framework established, namely investment strategy, policy, financial regulations and scheme of delegation, and there is evidence of clear reporting to the both Audit and Governance and the Authority. During the audit, discussions took place as to whether the Treasury Management Strategy needed to be amended in light of the downgrading of the sovereign credit rating following the "Brexit" vote. As Dartmoor National Park only invests with Barclays Bank and their credit rating has not been affected, they have been advised by the Devon Investments Manager, that there is no requirement to amend their existing policy. This demonstrates that the Authority has good awareness of changes in the external environment, and takes the necessary management action to minimise risk.	**High Standard**
No observations and recommendations recorded.	

6. Risk Area Covered: Financial loss and undetected error or fraud	**Level of Assurance**
Opinion Statement: Controls in this area were found to be sound and suitably mitigate the risks. There was good evidence on cash flow and Treasury Management performance monitoring both at LT and committee level, transactions are only able to be made through the official bank accounts held by the Authority, as well as there being regular reconciliation and independent verification of the investment of funds. No issues were identified that would warrant inclusion within the audit report.	**High Standard**
No observations and recommendations recorded.	

7. Risk Area Covered: Income due to the organisation may not be suitably controlled (Invoice raising, income collection and banking).	**Level of Assurance**
Opinion Statement: The Authority has good processes in place to manage debtor income, and there is reasonable separation of duties applied when raising and processing debtor invoices and credit notes onto the accountancy system. We found there to be a comprehensive audit trail to support all invoices and credit notes that we tested. In review of cash procedures, we found there to be good controls to manage, check and reconcile cash through the three National Park Visitor Centres and also through other income streams including planning and car parking income. We also found evidence to support that banking had been done correctly and regularly. The National Park Authority adopts an agreed set of fees and charges for each financial year which are reviewed as part of its budget setting process and are agreed at an Authority committee meeting. In testing a small sample of invoices raised in this financial year, the invoices had been raised timely and we were able to get assurance that the invoices had calculated the right amount that was owed to the Authority, and also provided a correct breakdown of VAT.	**High Standard**
No observations and recommendations recorded.	

8. Risk Area Covered: Purchasing arrangements and payments to creditors may not be secure or effective resulting in incorrect and / or unauthorised payments.	**Level of Assurance**
Opinion Statement: Walkthrough discussion and testing in this area has confirmed that the Authority continues to maintain a high standard of controls to enable effective purchasing of supplies and services; This is much to the credit of the finance staff involved in this area. Comprehensive guidance and policies are in place which clearly detail the appropriate procedures and delegated spending limits. Access to processing invoices is mainly restricted to the Authority finance staff, and there is an adequate segregation of duties built into the accounting system for raising, processing and authorisation of creditor invoices. We found three instances within our sample testing of 10 invoices where a purchase order had not been raised by a service in advance of a service being provided. Satisfactory explanation could be provided for all three instances and therefore assurances can be given that orders are raised wherever possible and subsequently non-ordering is kept to a minimum. In our sample of 10 creditor payments reviewed, we found that spending officers had adhered to the tendering and / or quotation requirements as per the authority's set of procurement procedures and there was a satisfactory audit trail maintained by the relevant service to record the tendering and /or quotation processes followed where applicable. We tested a small sample of creditor payments including manual payments and purchases made by credit card, and found these to be subject to appropriate levels of checking and authorisation. We found all of the creditor invoices which we sample tested to have been correctly coded into the accounting system.	**High Standard**
No observations and recommendations recorded.	

9. Risk Area Covered: The Payroll (Salaries and Wages) may not be suitably controlled resulting in incorrect and/ or unauthorised payments being made	**Level of Assurance**
Opinion Statement: There have been no significant changes to processes since the last financial year. The Authority has continued to use HR One to administer their Payroll. The HR team have continued to monitor payroll errors through use of an 'error log' in this financial year and this has only identified a small number of errors processed by either their Payroll provider or by the HR team at Dartmoor National Park. HR One now provides the Authority with a variance report on a monthly basis, and this has helped the HR team to review significant variances over £200 to gross pay. As part of this audit we undertook sample testing including: 1. Starters and leavers 2. Changes and amendments to employees' salaries 3. Additional hours 4. Members allowances 5. Members travel and subsistence claims. Our sample testing confirmed that salaries and wages have been paid correctly, accurately and timely. This audit review recognises that the Authority has satisfactory processes to check payroll and personnel records at the start of the financial year to ensure standing data including salary details are correct. This would include a review of any incremental changes and there has been an additional reconciliation following the recent pay award. The additional check highlighted far fewer inconsistencies/errors than indicated by the annual review of salaries in April 2016 thus providing assurance that the risk of a ghost employee or an employee being paid for two different posts in error is still very low. The payroll provider has yet to provide the Authority with the ability to use 'self-service' which would enable more efficient processing than paper claims.	**High Standard**

No.	Observation and implications
13.1	The Authority use HR One to host and provide maintenance on the Payroll system. The process of investigating other options to more fully encompass the HR and payroll function has been discussed with HR One by the Head of OD & HR Assistant. However, at the time of the audit, all additional hours, overtime, travel claims and expenses are completed on paper forms and manually input by the HR One Payroll team.

	Recommendation	Priority	Management response and action plan including responsible officer
13.1.1	It is understood that a 'self service' option is not available to the Authority at the present time however, it is prudent that the Authority continues to pursue this option as this will enable efficiencies to be gained when transaction are handled only once at each stage: a self-service option would see the claim being input by the employee, approved by the nominated line manager and then processed by payroll provider.	Opportunity	A meeting was held with HR One in January 2016 to consider the following: 1) to explore whether having direct access to HR One HR/payroll system (Oracle) by DNPA HR staff would improve efficiency 2) to understand what reports and management information may be provided via Oracle that might improve reporting and make processes more efficient (e.g. recording of sickness absence) We are not aware of a self-service option being available via current payroll provider (HR One). Update on progress: May 2016 – IT set up access to Oracle from DNPA August 2016 – HR Service have not had capacity to progress to date.

No.	Observation and implications
13.2	New member allowances have been agreed from 1st April 2016 - to £1627 Basic Allowance per annum (1% NJC Pay Award Applied) and it was confirmed that the new pay rates were put into effect in July 2016. A memo from Legal & Democratic Services to HR regarding new members and departing members (12th May 2016) included instructions to pay a member who was leaving on 10th May 2016 to be paid to the end of the month as opposed to pro-rata. In addition, this memo was not copied into the Finance Team. The memo was too late to enable the HR team to inform the Payroll provider of the change for the May payment run resulting in an overpayment being made.

	Recommendation	Priority	Management response and action plan including responsible officer
13.2.1	If there is a cost effective means of doing so then implement procedures to recover the over-payment to the member who left part-way through May 2016.	Low	The overpayment was recovered on 1st August 2016
13.2.2	Ensure the Members Secretary is advised of the correct procedures for members who leave.	Low	All relevant personnel have been advised of the correct procedures.

Definitions of Audit Assurance Opinion Levels

Assurance	Definition
High Standard.	The system and controls in place adequately mitigate exposure to the risks identified. The system is being adhered to and substantial reliance can be placed upon the procedures in place. We have made only minor recommendations aimed at further enhancing already sound procedures.
Good Standard.	The systems and controls generally mitigate the risk identified but a few weaknesses have been identified and / or mitigating controls may not be fully applied. There are no significant matters arising from the audit and the recommendations made serve to strengthen what are mainly reliable procedures.
Improvements required.	In our opinion there are a number of instances where controls and procedures do not adequately mitigate the risks identified. Existing procedures need to be improved in order to ensure that they are fully reliable. Recommendations have been made to ensure that organisational objectives are not put at risk.
Fundamental Weaknesses Identified.	The risks identified are not being controlled and there is an increased likelihood that risks could occur. The matters arising from the audit are sufficiently significant to place doubt on the reliability of the procedures reviewed, to an extent that the objectives and / or resources of the Council may be at risk, and the ability to deliver the service may be adversely affected. Implementation of the recommendations made is a priority.

Definition of Recommendation Priority

Priority	Definitions
High	A significant finding. A key control is absent or is being compromised; if not acted upon this could result in high exposure to risk. Failure to address could result in internal or external responsibilities and obligations not being met.
Medium	Control arrangements not operating as required resulting in a moderate exposure to risk. This could result in minor disruption of service, undetected errors or inefficiencies in service provision. Important recommendations made to improve internal control arrangements and manage identified risks.
Low	Low risk issues, minor system compliance concerns or process inefficiencies where benefit would be gained from improving arrangements. Management should review, make changes if considered necessary or formally agree to accept the risks. These issues may be dealt with outside of the formal report during the course of the audit.
Opportunity	A recommendation to drive operational improvement which may enable efficiency savings to be realised, capacity to be created, support opportunity for commercialisation / income generation or improve customer experience. These recommendations do not feed into the assurance control environment.

Confidentiality under the National Protective Marking Scheme

Marking	Definitions
Official	The majority of information that is created or processed by the public sector. This includes routine business operations and services, some of which could have damaging consequences if lost, stolen or published in the media, but are not subject to a heightened threat profile.
Secret	Very sensitive information that justifies heightened protective measures to defend against determined and highly capable threat actors. For example, where compromise could seriously damage military capabilities, international relations or the investigation of serious organised crime.
Top Secret	The most sensitive information requiring the highest levels of protection from the most serious threats. For example, where compromise could cause widespread loss of life or else threaten the security or economic wellbeing of the country or friendly nations.

GrantThornton

The Annual Audit Letter
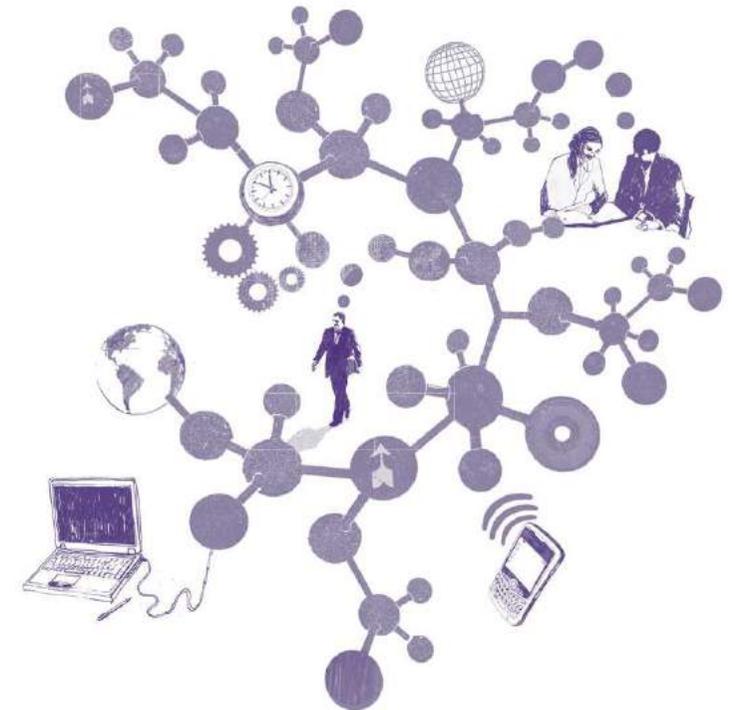# for Dartmoor National Park Authority

Year ended 31 March 2016

October 2016

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Contents

Executive summary

Purpose of this letter

Our Annual Audit Letter (Letter) summarises the key findings arising from the work that we have carried out at Dartmoor National Park Authority (the Authority) for the year ended 31 March 2016.

This Letter is intended to provide a commentary on the results of our work to the Authority and its external stakeholders, and to highlight issues that we wish to draw to the attention of the public. In preparing this letter, we have followed the National Audit Office (NAO)'s Code of Audit Practice (the Code) and Auditor Guidance Note (AGN) 07 – 'Auditor Reporting'.

We reported the detailed findings from our audit work to the Authority's Audit and Governance Committee as those charged with governance in our Audit Findings Report on 2 September 2016.

Our responsibilities

We have carried out our audit in accordance with the NAO's Code of Audit Practice, which reflects the requirements of the Local Audit and Accountability Act 2014 (the Act). Our key responsibilities are to:

- give an opinion on the Authority's financial statements (section two)
- assess the Authority's arrangements for securing economy, efficiency and effectiveness in its use of resources (the value for money conclusion) (section three).

In our audit of the Authority's financial statements, we comply with International Standards on Auditing (UK and Ireland) (ISAs) and other guidance issued by the NAO.

Our work

Financial statements opinion

We gave an unqualified opinion on the Authority's financial statements on 5 September 2016.

Value for money conclusion

We were satisfied that the Authority put in place proper arrangements to ensure economy, efficiency and effectiveness in its use of resources during the year ended 31 March 2016. We reflected this in our audit opinion on 5 September 2016.

Whole of government accounts

We completed work on the Authority's consolidation return following guidance issued by the NAO. The Authority was below the audit threshold per the NAO guidance.

Certificate

We certified that we had completed the audit of the accounts of Dartmoor National Park Authority in accordance with the requirements of the Code on 5 September 2016.

Other work completed

During the year we sponsored the National Parks Conference which was hosted by the Authority.

Working with the Authority

During the year we have delivered a number of successful outcomes with you:
- An efficient audit – early testing and the delivery of the audit opinion 25 days before the deadline
- Understanding your operational health – through the value for money conclusion we provided you with assurance on your operational effectiveness

We would like to record our appreciation for the assistance and co-operation provided to us during our audit by the Authority's staff.

Grant Thornton UK LLP
October 2016

Audit of the accounts

Our audit approach

Materiality

In our audit of the Authority's accounts, we use the concept of materiality to determine the nature, timing and extent of our work, and in evaluating the results of our work. We define materiality as the size of the misstatement in the financial statements that would lead a reasonably knowledgeable person to change or influence their economic decisions.

We determined materiality for our audit of the Authority's accounts to be £99,000, which is 1.9% of the Authority's gross revenue expenditure. We used this benchmark, as in our view, users of the Authority's accounts are most interested in how it has spent the income it has raised from grants during the year.

We also set a lower level of specific materiality for certain areas such as senior officer and auditor's remuneration and cash & cash equivalents.

We set a lower threshold of £5,000, above which we reported errors to the Audit Committee in our Audit Findings Report.

The scope of our audit

Our audit involves obtaining enough evidence about the amounts and disclosures in the financial statements to give reasonable assurance that they are free from material misstatement, whether caused by fraud or error.

This includes assessing whether:
- the Authority's accounting policies are appropriate, have been consistently applied and adequately disclosed;
- significant accounting estimates made by management are reasonable; and
- the overall presentation of the financial statements gives a true and fair view.

We also read the narrative report and annual governance statement to check they are consistent with our understanding of the Authority and with the accounts on which we give our opinion.

We carry out our audit in line with ISAs (UK and Ireland) and the NAO Code of Audit Practice. We believe the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Our audit approach was based on a thorough understanding of the Authority's business and is risk based.

We identified key risks and set out overleaf the work we performed in response to these risks and the results of this work.

Audit of the accounts - Authority

These are the risks which had the greatest impact on our overall strategy and where we focused more of our work.

Risks identified in our audit plan	How we responded to the risk
Valuation of property plant and equipment The Authority previously revalued all of its assets with a value date of 31 March 2014. During 2015/16 (and during the prior year) the Authority has considered fair values through assessments carried out by a suitably qualified expert. Following the fair value assessment in 2015/16 it was deemed appropriate to revalue mobile vending rights following a tendering exercise, The Authority revalues assets on a rolling basis.	As part of our audit work we have: • Reviewed the competence, expertise and objectivity of any management experts used. • Reviewed the instructions issued to valuation experts and the scope of their work • Discussed with the Authority's valuer about the basis on which the valuation was carried out, challenging the key assumptions. • Tested revaluations made during the year to ensure they were input correctly into the Authority's asset register • Evaluated the assumptions made by management for those assets not revalued during the year and how management satisfied themselves that these were not materially different to current value. We did not identify any issues to report.
Valuation of pension fund net liability The Authority's pension fund asset and liability, as reflected in its balance sheet, represents a significant estimate in the accounts. The values of the pension fund net liability is estimated by specialist actuaries.	As part of our audit work we have: • Documented and walked through the key controls put in place by the Authority to ensure they were designed as expected. • Reviewed the competence, expertise and objectivity of the actuary who carried out the Authority's pension fund valuation • Gained an understanding of the basis on which the IAS 19 valuation was carried out, undertaking procedures to confirm the reasonableness of the actuarial assumptions made. • Reviewed the consistency of the pension fund asset and liability and disclosures in notes to the financial statements with the actuarial report from your actuary. We did not identify any issues to report.

Audit of the accounts

Audit opinion

We gave an unqualified opinion on the Authority's accounts on 5 September 2016, in advance of the 30 September 2016 national deadline.

The Authority made the accounts available for audit in line with the agreed timetable which was several weeks earlier than in previous years, and provided a good set of working papers to support them. The finance team responded promptly and efficiently to our queries during the course of the audit.

Issues arising from the audit of the accounts

We reported our findings from our audit of the accounts of the Authority to the Authority's Audit and Governance Committee on 2 September 2016. We did not identify any significant issues.

Annual Governance Statement and Narrative Report

We are also required to review the Authority's Annual Governance Statement and Narrative Report. The Authority published them on its website with the draft accounts in line with the national deadlines.

Both documents were prepared in line with the relevant guidance and were consistent with the supporting evidence provided by the Authority and with our knowledge of the Authority.

Whole of Government Accounts (WGA)

We carried out work on the Authority's consolidation schedule in line with instructions provided by the NAO . We issued a group assurance certificate which did not identify any issues for the group auditor to consider.

Other statutory duties

We also have additional powers and duties under the Act, including powers to issue a public interest report, make written recommendations, apply to the Court for a declaration that an item of account is contrary to law, and to give electors the opportunity to raise questions about the Authority's accounts and to raise objections received in relation to the accounts.

Value for Money conclusion

Background

We carried out our review in accordance with the NAO Code of Audit Practice (the Code), following the guidance issued by the NAO in November 2015 which specified the criterion for auditors to evaluate:

In all significant respects, the audited body takes properly informed decisions and deploys resources to achieve planned and sustainable outcomes for taxpayers and local people.

Key findings

Our first step in carrying out our work was to perform a risk assessment and identify the key risks where we concentrated our work.

The key risks we identified and the work we performed are set out in table 2 overleaf.

As part of our Audit Findings report agreed with the Authority in September 2016, we did not raise any recommendations.

Overall VfM conclusion

We are satisfied that in all significant respects the Authority put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2016.

Value for Money

Table 2: Value for money risks

Risk identified	Work carried out	Findings and conclusions
Resource deployment Given the size of the authority and the range of its activities, we considered the 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.	We reviewed the Authority's arrangements for workforce planning and employee strategy. We also looked at the arrangements in place for managing assets.	The Authority recognises the risks associated with its size and has monitoring arrangements in place to effectively deploy resources to meet the strategic goals of the organisation. The Authority has appropriate policies in place and the Leadership team regularly reviews and carries out workforce planning. The Authority regularly reviews and monitors its performance and is realistic in determining how best to deploy its resources to achieve its priorities. The Authority uses external parties to provide certain services as appropriate to help achieve its goals as well as working with partners and volunteers. During the year, the Authority had effective policies in place to support staff. The Authority has a small asset base and this is managed and maintained adequately. On that basis we concluded that the risk was sufficiently mitigated and the Authority has proper arrangements.

Value for Money

Risk identified	Work carried out	Findings and conclusions
Medium term financial planning and reliance on key income streams Whilst the Authority has a strong record of managing it 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 are increasing demands on outcomes.	We reviewed the Authority's arrangements for updating, agreeing and monitoring its Medium Term Financial Plan. We considered the robustness of the financial planning assumptions and arrangements for ensuring the financial projections are realistic and achievable. We considered the different income streams current and predicted and consider how these have been incorporating into the medium term financial plan.	Whilst the Authority does heavily rely on the National Park DEFRA grant, the 4 year settlement announced in January 2016 has provided more certainty compared to previous years. The settlement confirmed the National Park Grant for the period up until 2019/20. Following this announcement the Head of Business Support has developed a three year Medium Term Financial Plan during the final quarter of 2015/16 and this is currently being finalised. The Authority has plans to further develop the Medium Term Financial Plan engaging with members in 2016/17. Previous to the settlement, whilst the Authority did not have a formal medium term financial plan in place, budgets were forecast for future years. The Budgets and medium term financial plan are 'zero based' which ensures monies are spent on the strategic priorities of the Authority and within allowable limits. Given the budget is built from zero, the plans are considered robust and require few assumptions. For monies allocated to projects departments must provide a business case. Whilst the Authority does rely on grant income, it is looking to develop alternative streams of income. going forward . A recent example of this is the Dartmoor Public Arts initiative. Whilst previously the Authority did not have a formal medium term financial plan, this has been developed during the latter end of 2015/16. which has been built from scratch. Whilst more work needs to be done in this area, including engagement with Members, we have concluded that the risk was sufficiently mitigated and the Authority has proper arrangements in place with respect to its medium term financial planning.

Value for Money

Risk identified	Work carried out	Findings and conclusions
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.	We reviewed the Authority's arrangements in 2015/16 for working with partners to effectively deliver the aims of the Authority.	During 2015/16 the Authority worked collaboratively with a range of different partners. The Authority is the lead and accountable body for "Moor than Meets the Eye" , a Heritage Lottery funded Landscape Partnership Scheme . Other examples include working on the "Connecting Devon and Somerset" Broadband Project which is led by the Connecting Devon and Somerset Partnership and is supported by the Authority. The Authority has demonstrated close working with partners during 2015/16 to achieve its objectives. This includes working with a variety of different organisations. Monitoring of partnership working is assessed in the Authority's performance monitoring framework and updates are provided to Authority members. On that basis we concluded that the risk was sufficiently mitigated and the Authority has proper arrangements.

Appendix A: Reports issued and fees

We confirm below our final fees charged for the audit and provision of non-audit services.

Fees

	Planned £	Actual fees £	2014/15 fees £
Statutory audit of Authority	11,807	11,807	11,807
Total fees (excluding VAT)	**11,807**	**11,807**	**11,807**

Fees for other services

Service	Fees £
Audit related services	Nil
Non-audit services	Nil

Reports issued

Report	Date issued
Audit Plan	6 May 2016
Audit Findings Report	2 September 2016
Annual Audit Letter	24 October 2016

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DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

4 November 2016

**FINANCIAL MANAGEMENT 1 APRIL TO 30 SEPTEMBER 2016
AND FORECAST OF FINANCIAL OUTTURN 2016/17**

Report of the Head of Business Support

Recommendation :   **That the content of the report be noted**

1   Monitoring and Management of Revenue Budgets (April to September 2016)

1.1   This report enables Members to monitor income and expenditure variations against
       the approved budget for 2016/17. Effective budgetary control is essential to ensure
       priorities are delivered in accordance with the Authority's plans. Budget Management
       is a dynamic process, resulting in the budget being subject to many varying
       pressures throughout the year.

1.2   The Authority's Financial Regulations provide delegated authority for the Chief
       Executive (National Park Officer) in consultation with the Chief Financial Officer to
       enact budget virement below £30,000. Above that sum, Members' approval would be
       sought.

1.3   Processes for sound budget management are well established within the Authority,
       with quarterly reports to the Leadership Team and detailed and continuous budget
       monitoring being carried out across all Directorates involving Heads of Service,
       spending officers and finance staff. This ensures the early identification of pressures
       and variances so that timely management action can be taken to adjust the budget
       and/or work programmes accordingly.

2   Forecast Outturn Position as at the 30 September 2016

2.1   The 2016/17 net budget was set at £3,671,177 (NPA/16/009) funded by National
       Park Grant (NPG) fees and charges and Earmarked Reserves. The Authority
       approved various appropriations to reserves at the end of the 2015/16 financial year
       (NPA/16/017) which are then allocated to the 2016/17 budget so that projects can be
       completed in the new financial year. This has resulted in the net budget increasing to
       £3,857,888.

2.2   Current projections, based on figures at the end of September (month 6) indicate that
       a surplus of £6,404 may arise. A Cost Centre summary can be found at Appendix 1
       and a detailed variance analysis against budget can be found at Appendix 2.

2.3   The main variations and movements in the management accounts are as follows:

       Salaries: A surplus of £29,445 mainly due to vacancies, most of which have now
       been filled or are being covered by temporary staff. The salary surplus relating to the

Hill Farm Project will be protected and carried forward to match the next phase of the project, as it derives from external and match funding.

Travel : A deficit of £3,124. It is likely that this will fluctuate during the next 6 months depending on the amount of mileage and rail journeys undertaken by staff.

Transport : A surplus of £1,830 the main variance relates to the pool cars: fuel underspend at the moment

Premises: A deficit of £71,4480 which is offset by £64,064 from the Heritage Lottery Fund (HLF) and our own reserves to match fund the works at Higher Uppacott under the Moor than Meets the Eye Scheme. Extra repair and maintenance costs have also been incurred at Parke and Princetown: gas boiler flue compliance works and external decorations at Parke; and window and roof repairs at Princetown.

Supplies and Services - A deficit of £269,047 some of which is offset by grant income, fees and charges and the planned use of earmarked reserves.

£	
11,143	Large uniform order placed, but includes free of charge items for Rangers and Voluntary Wardens
57,715	Public Arts Project spend to date – to be met from Reserves
8,000	Monument Management Agreement – funded by Historic England Grant
120,000	Linhay Quarry – external support costs to process the planning application. To be met from application fee £65,000 and by recharging the applicant as agreed via the PPA
45,000	Enforcement, planning enquiry and award related costs
3,000	To support the Student Ranger post
3,990	National Parks England – increased subscription due to new accommodation costs and to support a 12 month fixed term contract
3,000	Property valuation costs and conveyancing
2,400	DSE equipment and occupational health related support for staff
2,500	Visitor Centre running costs
2,000	ICT related training costs

Grant income:

£	
8,000	Historic England grant – Monument Management Agreement
64,064	HLF grant and Reserves to match repairs at Higher Uppacott
5,000	Neighbourhood Planning grant (number 3)
5,580	Self-Build Register grant

Sales, Fees & Charges - A surplus of £183,583, the most significant of which are:

£	
2,567	Filming and wayleaves
22,397	Visitor Centres: sales, donations and events
127,925	Planning fees – some of which is being used to support extra costs for the Linhay Quarry application. If Linhay is excluded, fees are forecast to be circa £20,000 more than budget

£	
6,694	£ for the Park
7,500	Treasury deposit income
10,700	Donate for Dartmoor - Recreational
260	Donate for Dartmoor – Natural
200	Donate for Dartmoor - Historic
3,600	Donate for Dartmoor - General

2.4 Within the budget the Authority set aside a **Project Fund** budget of 216,526 for this financial year. At the time of writing this report £125,510 expenditure has been approved by Leadership Team, which includes:

£	
2,010	Conservation area appraisals
6,867	Additional hours for ecology to support planning application work
17,337	Research & Project Officer post (12 months)
10,735	Project Development support
5,000	MSC research project to map the distribution of bog hoverfly
1,960	Fire plans
4,200	Postbridge Visitor Centre improvements: windows, heating etc
2,000	Neighbour notification search tool – Planning (website)
1,500	WWII US archives project
2,500	Tour of Britain
997	Wildlife Festival of the North event
1,700	Renewal of the Ranger Ralph Trademark
66,494	2 year Planning Officer post to support the Local Plan Review
2,210	Training - ICT

2.5 Other costs that are likely to be met from the Project Fund include: maternity cover in Finance, apprenticeship salaries in Communications and Conservation Works and the Farming and Community Wildlife Advisor post. The exact amounts are still to be confirmed. Full utilisation of the Fund is anticipated by year-end, although some balances will be carried forward for projects and posts that span more than one financial year.

3   Treasury management Stewardship

3.1 The function of Treasury Management (borrowing and lending monies) is covered by the CIPFA Code of Practice on Treasury Management in the Public Services. The Authority adopted this Code in 2004. In compliance with the code, the Authority approves a Treasury Management Policy & Investment Strategy annually (NPA/16/008). This sets out the detail on how the function is to be carried out, and delegates overall management of it to the Chief Financial Officer.

3.2 The Authority seeks to operate its accounts in credit, and any short-term surplus funds are deposited with in our bank accounts or the Barclays Treasury Deposit Account. Various forecasts have to be made about the likely interest rate movements and cash flow variations and an estimate of likely income from investment receipts are included in each year's Revenue Budget.

3.3 The following table shows the outturn position for the previous six financial years, the current position and a forecast outturn for 2016/17.

2010/11 Outturn	2011/12 Outturn	2012/13 Outturn	2013/14 Outturn	2014/15 Outturn	2015/16 Outturn	2016/17 Forecast
£13,841	£10,809	£21,920	£16,013	£17,998	£19,162	£17,900

3.4 The Authority has for many years adopted a very cautious and prudent approach to treasury management. Lending is only possible to banks and building societies which have strong credit limits and meet the criteria set by the Authority, using information published by the three major credit rating agencies. This policy has been maintained in the knowledge that putting security before liquidity or yield does impact on the income being generated from these investments.

3.5 The Authority's investment portfolio (surplus cash balances) is small and we do not therefore have large enough sums to spread our investments with multiple counterparties or for the longer-term. Another option would be to consider having our investments managed by a third party, to perhaps take advantage of some type of 'pooling arrangement'. This has been discussed with the County Council, but has not been taken forward, as the charges incurred would almost certainly negate any possible investment gains and reduce our income even further.

4 Capital Programme and Prudential Indicators

4.1 The Authority does not have a capital programme this year, has no plans for external borrowing and therefore and therefore the prudential indicators do not apply.

5 Reserves

5.1 The level of reserve balances is determined in part by our on-going work programmes and projects; see Appendix 3 and by using a risk based analysis and methodology as set out at Appendix 4. Reserve funding is allocated or matched with expenditure according to project / programme requirements, but it should be noted that some projects straddle more than one financial year, or are dependent on partnerships where timing of spend is uncertain. Based on the current financial position, the year-end balance for earmarked reserves is anticipated to be:

Earmarked Reserves	£
Opening Balance	**(2,537,831)**
Forecast Spent in year	378,268
New contributions to reserves / carry forwards (too early)	0
Forecast outturn (at month 6 – too early to say)	0
Closing Balance (forecast)	**(2,159,563)**

General unallocated Reserve	**(450,000)**

5.2 We are currently undertaking the process of building the 2017/18 Budget and Medium Term Financial Plan (MTFP). Current unconfirmed but potential pressures include the results of the Local Government Pension Fund (LGPS) triennial valuation. The Actuary has recently indicated that employer contribution rates may have to rise by 2%; and this could increase costs by approximately £50,000 per annum. This may

impact on the level of reserves required to support and balance the annual budgets during the next MTFP period, to enable us to deliver Business Plan priorities and actions.

6 Sustainability and Equality Impact

6.1 Consideration is always given, when deciding which areas of expenditure should be supported, of the impact on under-represented groups, and the need to promote equal opportunities both as an employer and in respect of the services provided.

7 Conclusions

7.1 The forecast outturn surplus of £6,404 represents a -0.2% variance against the budget. It should be noted that some forecasts are likely to fluctuate, especially if some projects are delayed due to poor weather conditions, or if other income is received and / or generated in the next 6 months. Action to realign budgets is not therefore recommended at this time.

7.2 The current year's projected outturn will be robustly monitored and challenged over the remaining six months to ensure that the Authority's aims, objectives and outcomes are achieved. Members will be notified before year-end if any new budget pressures, or significant variations are likely to occur.

DONNA HEALY

Background Papers
NPA/16/009: 2016/17 Net Revenue Budget, Medium Term Financial Plan & Capital Budget
NPA/16/008: Treasury Management Investment Strategy 2016/17
NPA/16/017: Financial Outturn 2015/16

Attachments –   Appendix 1 - Revenue Budget Monitoring Report Summary
Appendix 2 - Month 6 Variance Analysis
Appendix 3 - General and Earmarked Reserve Balances
Appendix 4 - Reserves: Risk Based Analysis

20116/17 Revenue Budget Monitoring: Summary Report 1 April to 30 September 2016

Functional Strategy	2016/17 Original Budget £	2016/17 Budget Variation/ Virement £	2016/17 Revised Budget	2016/17 Actual & Committed Month 6 £	2016/17 Budget Remaining	2016/17 Projected Outturn	2016/17 Year End Deficit/ (Surplus) £
Biodiversity	113,387	26,867	140,254	53,391	(86,863)	133,292	(6,962)
Land Management	30,119	15,346	45,465	13,023	(32,442)	42,452	(3,013)
Woodlands	42,735	0	42,735	20,043	(22,692)	42,561	(174)
Hill Farm Project - DNPA	14,822	0	14,822	260	(14,562)	15,112	290
Hill Farm Project - Princes Countryside Fund	20,965	0	20,965	6,627	(14,338)	12,357	(8,608)
Directorate Costs	3,100	0	3,100	20,628	17,528	14,513	11,413
Natural Environment	225,128	42,213	267,341	113,972	(153,369)	260,287	(7,054)
Archaeology	69,306	1,500	70,806	32,218	(38,588)	70,882	76
Built Environment	39,835	2,010	41,845	21,293	(20,552)	37,727	(4,118)
Higher Uppacott	7,873	20,000	27,873	64,810	36,937	30,570	2,697
Cultural Heritage	117,014	23,510	140,524	118,321	(22,203)	139,179	(1,345)
Visitor Management	85,265	19,837	105,102	10,765	(94,337)	105,618	516
Access	101,167	0	101,167	40,610	(60,557)	97,018	(4,149)
Public Rights of Way	87,238	40,723	127,961	63,758	(64,203)	128,135	174
Sustainable Transport & Tourism	25,245	0	25,245	13,520	(11,725)	25,550	305
Recreation Management, Traffic & Transport	298,915	60,560	359,475	128,653	(230,822)	356,321	(3,154)
Visitor Centres	168,998	8,467	177,465	79,281	(98,184)	150,042	(27,423)
Communications	174,045	19,165	193,210	146,443	(46,767)	251,094	57,884
Education	123,079	2,697	125,776	60,665	(65,111)	122,766	(3,010)
Education, Information & Communication	466,122	30,329	496,451	286,389	(210,062)	523,902	27,451
Rangers	429,474	0	429,474	211,695	(217,779)	432,519	3,045
Conservation Works Service	213,535	0	213,535	99,588	(113,947)	208,872	(4,663)
Development Management	336,632	7,500	344,132	233,214	(110,918)	379,246	35,114
Forward Planning & Community	220,995	107,338	328,333	63,215	(265,118)	320,731	(7,602)
Corporate and Democratic Core	313,018	0	313,018	145,485	(167,533)	293,448	(19,570)
Information Technology	166,220	0	166,220	90,123	(76,097)	168,892	2,672
Corporate Operating Costs	117,137	(6,324)	110,813	78,761	(32,052)	111,832	1,019
Finance & Administration	179,015	(12,632)	166,383	89,321	(77,062)	168,976	2,593
Legal & Democratic Services	89,917	0	89,917	42,908	(47,009)	94,686	4,769
Human Resources	128,325	0	128,325	69,573	(58,752)	131,040	2,715
Office Accommodation (Parke)	109,285	6,324	115,609	70,229	(45,380)	118,013	2,404
Office Accommodation (Princetown)	43,919	0	43,919	27,632	(16,287)	48,228	4,309
Business Support	833,818	(12,632)	821,186	468,547	(352,639)	841,667	20,481
Project Fund	216,526	(72,107)	144,419		(144,419)	144,419	0
Total Net Expenditure	3,671,177	186,711	3,857,888	1,869,079	(1,988,809)	3,900,591	42,703
Funded By:	£		£	£	£	£	£
National Park Grant	(3,635,052)		(3,635,052)	(2,056,169)	1,578,883	(3,635,052)	0
2014/15 Brought forward reserve balances	(36,125)	(186,711)	(222,836)	0	222,836	(280,551)	(57,715)
Transfers to Reserves			0			8,608	8,608
Total	(3,671,177)	(186,711)	(3,857,888)	(2,056,169)	1,801,719	(3,906,995)	(49,107)
Budget Variation - (Under) / Over Spend	0	0	0	(187,090)	(187,090)	(6,404)	(6,404)

2016/17 BUDGET MONITORING REPORT: VARIANCE ANALYSIS AS AT MONTH 6	Salaries £	Travel & Subsistence £	Premises £	Transport £	Supplies & Services £	Expenditure Overspend (Underspend) £	Grants £	Sales Fees & Charges £	Income Deficit (Surplus) £	Total Variance Deficit (Surplus) £	Explanation
BIODIVERSITY	(8,095)	(200)			1,333	(6,962)			0	(6,962)	Vacancy savings. Recruitment taking place: Ecologist, Head of Land Management and Farming & Wildlife Advisor. Costs and coding to be confirmed.
LAND MANAGEMENT	(1,023)	343			234	(446)		(2,567)	(2,567)	(3,013)	Filming income, Wayleaves & Hone Common HLS
WOODLANDS	0	250			0	250		(424)	(424)	(174)	Deer Management payment
HILL FARM PROJECT - PCF	(14,170)	1,000		158	3,555	(9,457)		849	849	(8,608)	Balances are to be used to support new 3 year funding bid. To be used or c/fwd
HILL FARM PROJECT	2,470	0			(2,120)	350		(60)	(60)	290	
DIRECTORATE COSTS		(100)		100	11,413	11,413			0	11,413	Uniform. Once issued will be recoded to individual services
NATURAL ENVIRONMENT	(20,818)	1,293	0	258	14,415	(4,852)	0	(2,202)	(2,202)	(7,054)	
ARCHAEOLOGY	1	950		0	8,594	9,545	(8,474)	(995)	(9,469)	76	Historic England funding monument management agreements via DNP. FEPs, Talks
BUILT ENVIRONMENT	(3,262)	(200)			2,014	(1,448)	(2,670)		(2,670)	(4,118)	Salary savings at appointment of new postholder
UPPACOTT			63,295		0	63,295	(64,064)	3,466	(60,598)	2,697	Tenancy terminated in August. MTMTE spend to be met from HLF grant and reserves
CULTURAL HERITAGE	(3,261)	750	63,295	0	10,608	71,392	(75,208)	2,471	(72,737)	(1,345)	
VISITOR MANAGEMENT	69		(68)	0	535	536		(20)	(20)	516	
ACCESS & RECREATION	2,658	157		0	30	2,845		(6,994)	(6,994)	(4,149)	£ for the Park
PUBLIC RIGHTS OF WAY	(127)	0		133	468	474		(300)	(300)	174	
SUSTAINBLE TOURISM & TRANSPORT	5	300			0	305				305	
RECREATION MANAGEMENT					0	4,160	0	(7,314)	(7,314)	(3,154)	
VISITOR CENTRES	(8,275)	0	1,034		2,215	(5,026)		(22,397)	(22,397)	(27,423)	Sales, Donations and events income. Vacancy - recruitment in progress
COMMUNICATIONS	(958)	275			58,767	58,084		(200)	(200)	57,884	Vacancy, recruitment in progress. Apprentice starts October, salary included. Public Arts Project costs to be met from reserves. See below
EDUCATION	(2,953)	0		(10)	357	(2,606)		(404)	(404)	(3,010)	**Timing of filling vacancy**
PROMOTING UNDERSTANDING	(12,186)	275	1,034	(10)	61,339	50,452	0	(23,001)	(23,001)	27,451	
RANGERS	130	0	0	182	3,154	3,466		(421)	(421)	3,045	Student Ranger costs
CONSERVATION WORKS	(3,902)	2	(83)	(545)	20	(4,508)		(155)	(155)	(4,663)	Vacancy held. Tempoary staff cover employed
RANGERS, ESTATES & VOLUNTEERS	(3,772)	2	(83)	(363)	3,174	(1,042)	0	(576)	(576)	(1,618)	
DEVELOPMENT MANAGEMENT	(34)	624		120	162,329	163,039		(127,925)	(127,925)	35,114	Planning Enquiry & enforcement related costs £26k. Planning award costs £16k. Recruitment costs. Linhay planning application fee & PPA in place to cover costs. Affordable Housing Valuations & Viability Assessment costs are met by 100% recharge.
DEVELOPMENT MANAGEMENT	(34)	624	0	120	162,329	163,039	0	(127,925)	(127,925)	35,114	
FORWARD PLANNING & COMMUNITIES	1,333	20			1,895	3,248	(10,850)		(10,850)	(7,602)	Post regraded. Neighbourhood Planning Grant (3rd) £5k and Self Build Register grant £5,580
FORWARD PLANNING	1,333	20	0	0	1,895	3,248	(10,850)	0	(10,850)	(7,602)	
CORPORATE & DEMOCRATIC CORE	682	0		0	1,830	2,512		(22,082)	(22,082)	(19,570)	Treasury £7.5k. Donate for Dartmoor £14k. Savings re S151 Officer £1k & National Parks England extra costs - accommodation and new post £4k
CORPORATE & DEMOCRATIC CORE	682	0	0	0	1,830	2,512	0	(22,082)	(22,082)	(19,570)	
INFORMATION TECHNOLOGY	592	(200)		58	2,255	2,705		(33)	(33)	2,672	Training & weekend working
CORPORATE OPERATING COSTS			0	(2,026)	3,252	1,226		(207)	(207)	1,019	Pool car fuel savings. Property related professional fees
FINANCE & ADMINISTRATION	3,293	0			(700)	2,593			0	2,593	Job Evaluation changes, maternity cover. Training course deferrred.
LEGAL	736	(100)			4,133	4,769		0	0	4,769	Monitoring Officer . Planning related Legal advice/support
HUMAN RESOURCES	916	3			3,484	4,403		(1,688)	(1,688)	2,715	Occupational Health & DSE costs. Cycle scheme.
OFFICE ACCOMMODATION (PARKE)	469	0	1,935			2,404		0	0	2,404	Maintenance: gas boiler flue and external decoration
OFFICE ACCOMMODATION (PRINCETOWN)	0		5,335			5,335		(1,026)	(1,026)	4,309	Maintenance: roof and wndows
BUSINESS SUPPORT	6,006	(297)	7,270	(1,968)	12,424	23,435	0	(2,954)	(2,954)	20,481	
Public Arts Project						0			0	(57,715)	Public Arts Project reserves funding - See Communications Budget above
Hill Farm Project balance protected						0			0	8,608	To be carried forward to next part of project
REVENUE EXPENDITURE	(32,050)	2,667	71,516	(1,963)	268,014	312,344	(86,058)	(183,583)	(269,641)	(6,404)	

Earmarked Reserves	2016/17 Opening Balance £	2016/17 Transfers Within £	2016/17 Transfers to Revenue in year £	2016/17 Transfers at year end To Revenue £	2016/17 Transfers at year end from Revenue £	2016/17 Closing Balance £	2017/18 Movements Within / From / (To) £	2017/18 Closing Balance £	Notes
Grants & Contributions with Restrictions									
Defra: Flood & Winter Storm Damage - Grant b/fwd	(31,256)		31,256			0		0	Transferred to revnue budget
Prince's Countryside Fund: Hill Farm Project	(15,003)			15,003		0		0	Project runs from 2015-2017 allocate at year end
Natural England - Internship	(12,871)			12,871		0		0	Transfer to revenue at year end / included in budget
English Heritage: White Horse Hill	(20,036)					(20,036)		(20,036)	To fund the Exhibition at Postbridge VC, timing unknown
DCC: Public Rights of Way	(9,467)		9,467			0		0	Service Level Agreement fund balance allocated to 2015/16
TDC: Communities Fund Grant prior years contributions	(50,000)		50,000			0		0	Allocated not yet paid
WDBC: Communities Fund Grant prior years contributions	(22,093)		22,093			0		0	Grants awarded not paid out as at 31.03.16
SHDC: Communities Fund Grant prior years contributions	(5,784)		5,784			0		0	Grants awarded not paid out as at 31.03.16
DCC: Naturally Healthy Dartmoor Project 2014-2017	(6,948)			6,948		0		0	Allocate at year end
DCLG: Vanguard Right to Buy	(10,000)		10,000			0		0	SPD review in 2016/17
SWW contribution towards Upstream scientific monitoring	(2,000)					(2,000)		(2,000)	Timing of project spend uncertain
Discovering Dartmoor's Wild Stories	(646)			646		0			Matches HLF Funding , to be used in early 2016/17
Budget management Fund - Provisions (risk based)									
Employees	(262,000)					(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	(80,000)					(80,000)		(80,000)	*See risk assessment for breakdown*
Historic: reductions in NPG	0					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	0					0		0	Allocated in year within movements column
2015/16 Outturn	(158,018)	158,018				0		0	To be allocated during 2016/17 via the MTFP process
Capital Expenditure Fund									
Vehicles - Sinking Fund - Replacement	(36,596)	(12,000)				(48,596)		(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									
Rural Community Broadband - phase 1	(10,000)			10,000		0		0	Payment due to be made 2016/17
Chagford Cattle Grid	(3,000)					(3,000)		(3,000)	Timing not known
Local Plan Review	(122,500)					(122,500)		(122,500)	Between 2015 & 2019 (estimates only/timing unknown)
All Moor Butterflies NPA/15/037	(17,500)					(17,500)		(17,500)	Project start delayed likely 2017 / spans more than 1 year
Peatland Study	(15,000)		15,000			0		0	Expected completion June 2016
MIRES PR14	(10,000)					(10,000)		(10,000)	Project spans more than 1 year - timing unknown
Higher Uppacott - sceptic tank installation	(20,000)		20,000			0		0	Expected completion 2016
Website redesign	(15,000)		15,000			0		0	Completion 2016
Contribution to Plymouth Area Sub-regional Study	(3,500)		3,500			0		0	Completed
Match Funding Reserve									
HLF - Moor Than Meets the Eye match funding	(200,000)					(200,000)		(200,000)	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		0		0	Approved in 2015/16, due to be paid 2016/17
NPA/14/044 Princes Countryside Fund match funding	(15,000)			15,000		0		0	Spans years 2015-2017
Greater Dartmoor LEAF 2015-2020	(20,700)			6,900		(13,800)		(13,800)	NPA/14/038 for years 2018-2020
Naturally Healthy Dartmoor Project	(25,000)			15,000		(10,000)		(10,000)	NPA/14/031 for years 2015-2017
Dartmoor's Wild Stories	(48,800)			48,800		0		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 NPA/16/009	(8,000)					(8,000)		(8,000)	Unsuccessful, at first attempt. To be re-submitted
Dartmoor Arts Iniative NPA/16/020		(140,000)				(140,000)		(140,000)	
Unallocated fund balance	(127,880)	(6,018)				(133,898)		(133,898)	Agreed NPA/16/009
	(2,537,831)	0	182,100	196,168	0	(2,159,563)	0	(2,159,563)	
General Reserve (unallocated emergency reserve)	(450,000)				0	(450,000)	0	(450,000)	NPA/16/009
Total General Fund Balance	(2,987,831)	0	182,100	196,168	0	(2,609,563)	0	(2,609,563)	

2016/17 RESERVES: RISK BASED ANALYSIS	Risk Level	Rate	2016/17 Opening Balance £'000
Grants & Contributions with Restrictions carried forward:			
Grants & Contributions with Restrictions	N/A	Actual	186
Employees:			
Allowance for increased pay awards	Low	1% extra PA	25
Maternity / Paternity Cover	High	Based on 4 staff	42
Equal Pay Claims / Employment Tribunals	Low	Est.	50
Pension Fund - Past Deficit Recovery	Medium	Est.	145
Costs & Awards:			
Appeals / Public Enquiries / Litigation	High	Est.	250
Loss of Income:			
Planning related fees	Medium	10%	19
Reduced Sales, Fees & Charges	Medium	10%	23
Partnership Income / Grants	High	10%	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	N/A	Actual	3
Broadband Phase 1	N/A	Actual	10
Local Plan Review	N/A	Est.	122
All Moor Butterflies	N/A	Actual	18
Peatland Study	N/A	Actual	15
MIRES PR14	N/A	Actual	10
Higher Uppacott Septic tank installation	N/A	Est.	20
Website redesign	N/A	Est.	15
Plymouth Area Sub-regional Study	N/A	Actual	4
Match Funding Reserve			
Superfast Broadband	N/A	Actual	65
Princes Countyside Fund - Hill Fram project	N/A	Actual	15
Greater Dartmoor LEAF	N/A	Actual	21
Naturally Healthy Dartmoor	N/A	Actual	25
Dartmoor's Wild Stories - HLF	N/A	Actual	49
Our Common Cause	N/A	Actual	8
National Parks Partnerships LLP	N/A	Actual	10
Unallocated to match future opportunities	N/A	Actual	128
Moor Than Meets The Eye - match funding	N/A	Actual	200
Moor Than Meets The Eye - cash flow provision	High	C/F forecast	300
Revenue			
Invest to save and / or Generate Projects	N/A	Actual	378
2015/16 Outturn to be allocated via the new MTFP		Est	158
General Reserve - Minimum amount to cover unanticipated costs / emergencies			450
Total Reserve Balance			**2,988**

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

4 November 2016

**BUSINESS PLAN MONITORING &
PERFORMANCE INDICATORS 2016/17**

Report of the Head of Organisational Development

Recommendations : **That Members:**
(i) **note the content of the report and comment on performance against the key actions identified in the 2016/17 Business Plan**
(ii) **analyse the performance indicators for 2016/17 to date and consider any action which may be taken to improve and maintain good performance or to address under performance**

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 2016/17.

1.2   Appendix 1 details progress in delivering all of the key actions identified in the 2016/17 Business Plan to achieve our agreed priorities. For each key action the lead officer is identified and expected and actual progress is reported for each quarter.

1.3   A traffic light system indicates progress for each key action:

Green – on target to complete
Amber – some concern regarding progress
Red – little or no progress; unlikely to complete

Key actions have been ordered to show the Red actions at the top, followed by the Amber and Green actions.

2   Performance for 2016/17 to Quarter 2

2.1   The Business Plan 2016/17 identified 26 key actions against the six agreed priorities for the Authority.

2.2   The number of key actions highlights the breadth of the work of the Authority and Members will note the nature of the key actions ranges from specific short-term projects to longer term strategic goals each requiring different levels of officer and Member input and commitment.

2.3   Members will note the progress made against the key actions at the halfway point in this business year, which is summarised in the table below:

Progress	No.	%
On target/completed	13	50%
Delayed/behind schedule	12	46%
Unlikely to complete	1	4%

3   Progress behind schedule

3.1   There are a number of key actions where progress is not being made as originally planned. The following additional comments are provided.

3.2   **Key Action 4 - Develop and extend the Moorland Vision**

Members will recall that we were hoping to deliver this through a partnership bid to the HLF, led by the Foundation for Common Land (FCL). The initial application was not successful but the FCL are co-ordinating a revised bid for submission in December. We are hoping that this will be successful enabling the appointment of a local facilitator to support the development of local visions for commons (3 commons initially in the Development phase) and then rolled out more fully in the delivery phase of the project. A decision is expected in March so there will be specific outcomes in this financial year.

3.3   **Key Action 5 - Develop funded programme of works to better manage erosion**

A very useful piece of work is progressing to develop a costed and prioritised programme of work and additional officer support has been paid for through the Project Fund to support this. We are struggling to find a relevant grant fund to support the works and we are therefore considering how it would fit with other income generation projects e.g. Donate for Dartmoor/Moor Otters. We are also considering how young people might support this work through practical volunteering and promoting key messages i.e. Young Rangers project (see Key Action 11).

3.4   **Key Actions 9, 13 & 25 - *Moor than meets the eye***

The Authority has an interest in *Moor than meets the eye* as lead partner but also as a delivery partner (our staff deliver 8 of the 28 projects which make up the overall scheme). The spend profile of the scheme is behind schedule by approximately 45% of the original anticipated spend at end of Year 2. It is not unusual to see delays but it is important that the Project Board and the Authority are happy that there is positive management of the projects and re-profiling of budgets to ensure that the scheme cash flow stays positive. Following a meeting in September, the Project Board has requested full reports on those projects significantly delayed and/or without clarity over budget re-profiling and timeline. Members are advised that a full report on Year 2 of *Moor than meets the eye* will be provided to the Authority in December 2016.

A number of Authority led projects contribute to this shortfall. These include the following schemes where progress is significantly behind schedule:

- Postbridge Information Centre (£184,920) which was originally planned for completion by 31 March 2016. Members are aware of the delays with this project and we are working with the Duchy of Cornwall to develop a new solution which still delivers the outcomes. HLF are aware of the delay with this project
- Bellever and Postbridge Trails: linked to above but again delayed and approximately £70,000 underspent. This is a joint project with the Forestry Commission and the lead officer is now pursuing the implementation of the project as a matter of priority. A new delivery plan is being completed and estimates delivery by the end of Year 4
- Dartmoor Diploma: this scheme is £52,890 underspent. It has proved difficult to recruit an external training co-ordinator to develop this proposal so a revised plan has now been developed and will be implemented from January 2017 subject to approval from HLF and other match funding.

Overall there is not a concern about the delivery of the scheme and the agreed outputs. With the exception of two smaller projects, most are in progress or have a revised work plan that is either approved or to be approved. However there still remains some concern about the level of reporting which means that the Scheme Manager does not have full confidence in the predicted cash flow.

3.5 **Key Actions 10 - New website & 14 – Visitor behaviour campaign**

Progress for both of these key actions has been delayed and the timeline revised as the work programme of the lead officer (Head of Communications, Economy & Fundraising) has been re-prioritised. This has enabled the *Moor Otters* project (not included in the Business Plan) to be developed which has taken a significant amount of time to manage.

The revised timeline for the website project see the beta site ready in the new year with a view to a launch early spring 2017.

3.6 **Key Action 16 – Increased landowner and community engagement (PROW)**

The letters to Parish Councils in August 2016 have generated three expressions of interest to provide extra support in some capacity. The Head Ranger is following this up and will provide a written progress report to the PROW Review Group at their meeting on 16 November 2016. The Head Ranger also reports good progress on various public rights of way through working in partnership with other organisations, including the National Trust and Devon Wildlife Trust.

3.7 **Key Action 18 – Programme of volunteering opportunities**

The Authority continues to support a volunteer programme working closely with our Voluntary Wardens, volunteer groups and individuals. There have been notable success stories including the Haytor conservation group (Simon Lee) and significant volunteer input to support delivery of *Moor than meets the eye* projects (e.g. Moor Medieval, Parishscapes and Victorians – Emma Stockley).

This key action is focused on understanding and adding value to our existing volunteer offer to engage volunteers across our services to meet identified needs.

The Head of Organisational Development (OD) has identified key issues and areas to be developed - building on our existing good practices. A proposed project working with Exmoor National Park Authority did not progress as planned (although an offer of support remains) so the Head of OD is reviewing how this key action is progressed through discussion with key staff.

4   Performance Indicators

4.1   Our current performance indicator framework comprises a set of 40 indicators (see Appendix 2).

4.2   The 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). National Park 'family' indicator numbers are highlighted (pink).

4.3   Performance indicators are now reported to the Authority and this Committee as agreed in May 2016 (NPA/AG/16/011). A table setting out when indicators are reported to Members is provided (see Appendix 3).

5   Performance for 2016/17 to date

5.1   Members will note that a number of indicators are reported annually and be aware that we are six months into the business year. Further explanation regarding two specific indicators that are not meeting the agreed target is provided below.

5.2   Appeal performance (S17)

Members of the Planning and Sustainable Development Working Panel were recently provided with a 12 month summary of appeal decisions. Whilst this did not show any discernible and clear trends there were a few learning points in relation to some policy areas such as extensions to dwellings, forestry buildings and use of planning conditions. These issues will be factored into future potential refusal applications, as well as the formulation of new policies in the new Local Plan. It should also be remembered that statistical analysis of a small number of decisions can be misleading. The Panel requested further analysis to show a breakdown of committee versus officer delegated decisions and whether or not that reveals anything further.

5.3   Pre application performance (P2 b)

Members will note slippage in this performance indicator. This together with the next quarter's performance will be factored into an ongoing review of our pre-application advice service which should come before Members in the New Year. This review will assess targets for service delivery as well as the fees payable. Current experience suggests that the current 28 day target may not be realistic.

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 the Authority has made good progress during the first six months in delivering the Business Plan for 2016/17.

NEIL WHITE

Background papers: NPA/AG/16/011

Attachments: Appendix 1 - Business Plan Monitor
**   Appendix 2 - Performance Indicators**
**   Appendix 3 - PI Committee Checklist**

20161104 NW Business Plan Monitoring and PIs

Business Plan Priorities (2016-2017) - Quarterly Monitoring

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)	
13	Deliver Moor than Meets the Eye projects where the Authority is the lead partner: - Heritage Trail (full launch) - Bellever and Postbridge Trails - Postbridge Visitor Centre	P4, P5 P4, P5 P4, P5	AK ID RD (MA)	**Milestones: Heritage Trail** - soft launched **Bellever and Postbridge Trails -** project plan to be confirmed by end of April.　　　　**Postbridge Visitor Centre** - decision on whether to invest and alternative options.		**Milestones:** Heritage Trails - 6 new trails added by end of Q2		**Milestones: Heritage Trail -** full launch with DNPA website　　**Postbridge and Bellever trails:** implement work to at least one trail **Postbridge Visitor Centre** Development of brief in conjunction with the Duchy. Meeting with the local community to explore the development of a new Centre		**Milestones:**	
				Progress: - **Heritage Trails:** Soft launched and made publically accessible (not promoted yet until more trails are submitted and approved). Continued calls for trail submissions have met with no response. Suggest specific persons are identified to develop specific trails to enable promoted public launch - **Bellever and Postbridge Trails:** project plan not confirmed by Ian Durrant. Mark Allott met with Ian and Andy Watson on 8 July to impress need to identify scope, activities/improvements, plan and report appropriately - **Postbridge Visitor Centre:** LT confirmed intended option in 14 July 2016 meeting. AK contacted Claire Hynes, HLF to discuss appropriate funding strategy. RD and MA to meet to discuss potential ways of still achieving original outcomes/benefits of the MTMTE bid to capitalise on funding	🟧	**Progress:** - **Heritage Trails:** No new trails submitted - limited engagement/response to requests. - **Bellever & Postbridge Trails:** Project £110k forecast underspend (none profiled), serious concerns over progress and delivery - no plan evident. - **Postbridge Visitor Centre:** Ambitions still in place to develop Centre and a brief has been created to explore the options for the site and what the ROI would be on any development.	🟥	**Progress:**		**Progress:**	
4	Develop and extend the Moorland Vision	P1, P2, P5	AK	**Milestones:** Decision of our common cause - 15 May. Local Group meeting - June - 3 commons. Agree how this project might link with re-fresh of the overall vision		**Milestones:** Recruit local facilitator - August. Local Group meeting - September. Further details to be added when grant decision is known		**Milestones:**		**Milestones:**	
				Progress: Common Cause bid to HLF not successful. Group re-convened to discuss re-submission. There will be slippage with this project. Likely to re-submit but Milestones will change.	🟥	**Progress:** Bid to HLF being re-submitted in December	🟧	**Progress:**		**Progress:**	
5	Develop a funded programme of works to repair and/or better manage erosion to key sites and access routes	P1, P3	AW	**Milestones:** Meeting to discuss scope + storyline - May. Work-up proposals - internal meeting - June.		**Milestones:** Initial conversation with potential funding partners July Consult with external stakeholders partners (eg DaCC, NE, LAF)		**Milestones: Potential** bid writing October - December.		**Milestones:** Submit HLF (Heritage) bid April 2017 if appropriate (decision July). Ponies on Parade match funding (non MTMTE?)	
				Progress: Internal meeting held, additional capacity to support development of project. Analysis of erosion surveys started to identify priority areas. .	🟩	**Progress:** Work is continuing to ascertain priorities, proposed actions and potential costs. Some concern about current scope of survey. No clear grant pot identified to date.	🟧	**Progress:**		**Progress:**	

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)	
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: - Higher Uppacott - Unveiling the heritage of the High Moor (inc. Sittaford Stone circle excavation) - Pounds and Driftways - Moor Medieval - Natural Connections - Haymeadows	P1 P1 P1, P2 P1, P6 P1, P2 P1, P2	AW LB RS NP CM (MA)	**Milestones: Higher Uppacott:** Tender docs for primary contractor. **Sittaford:** geophysical survey complete. **Pounds and Driftways:** Site meetings to agree proposals attention and East Shallowford **Natural Connections:** Invasive species management of 5 sites **Haymeadows:** agree specification for haymeadow seed initiative		**Milestones: Higher Uppacott** - delivery of outshot roof completed. **Sittaford/Hangingstone Hill** - community/ volunteer excavation at Hangingstone **Natural Connections:** 2 draft integrated management plans for consultation with partners and to agree actions **Haymeadows:** 6 public events		**Milestones: Sittaford/Hangingstone Hill** Excavations at Sittaford - September using contractor. **Natural Connections:** 2 integrated plans completed. New interpretation board at Haytor **Haymeadows:** New interpretation board at Postbridge		**Milestones: Natural Connections:** Willow tit and Bog Hoverfly MsC research underway **Haymeadows:** 4 x volunteer tasks	
				Progress: **Higher Uppacott -** Work in preparation for scantile slate replacement roof. Tender process for internal works delayed due to delays with architect. Ground works completed in preparation of foul water drainage works (opening in wall for new access. Hot lime pointing works continue. **Unveiling the heritage of the High Moor (inc. Sittaford Stone circle excavation)** Geo-physical survey complete **Pounds and Driftways -** Site meetings held at East Shallowford and Venton driftway **Moor Medieval -** Nigel Pratt to lead following briefing with Chris Hart and Ally Kohler on 8 July. Project currently on-hold to be re-launched in earnest in Sept **Haymeadows -** conversation started but brief not completed **Natural Connections -** management of 4 sites completed		**Progress:** - **Higher Uppacott:** Outshot roofing in progress. Significant delays (~9mths) in technical report from Jonathan Rynd. Outline interpretation proposals developed. £40k overspend now forecast. - **Unveiling the heritage of the High Moor:** Sittaford stone circle excavation fieldwork complete. post excavation work in progress. Hangingstone Hill volunteer excavation complete and post excavation work in progress. - **Ponies, Pounds and Driftways:** 2/5 complete. East Shallowford pound - Tree officer to visit for advice on works. Venton driftway requires meeting with absent land owner and advice regarding removal of scrub to help determine route - **Moor Medieval:** North Hall (Widecombe) Excavation last week of June, 148 volunteer days and 68 school children attending; field visit to Penhallam Manor (Cornwall) attended by 20 people. Monthly meetings to recommence in Q3. - **Natural Connections:** Integrated Management Plan drafts completed Sep for Naomi's review before leaving - **Haymeadows:** Surveys on hold due to Natural Connections priority work. Seed Marketing Group in development		**Progress:** - **Higher Uppacott** - **Unveiling the heritage of the High Moor** - **Ponies, Pounds and Driftways** - **Moor Medieval** - **Natural Connections** - **Haymeadows**		**Progress:** - **Higher Uppacott** - **Unveiling the heritage of the High Moor** - **Ponies, Pounds and Driftways** - **Moor Medieval** - **Natural Connections** - **Haymeadows**	
10	Deliver new website	P3, P5, P6	SH	**Milestones:** New website code developed and delivered to DNPA. Build underway by portal managers. Content re-write underway ready for migration		**Milestones:** build finalised, content migrated, beta site tested and launched		**Milestones:** evaluate success of new website, bug fix etc.		**Milestones:** Complete	
				Progress: Content re-write underway, code developed and ready for delivery early July		**Progress:** build underway, content being written, timeline revised due to other projects (Moor Otters in particular). All staff updated on revised timeline		**Progress:**		**Progress:**	

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)	
12	Implement proposals to improve interpretation and access to Princetown Visitor Centre	P3, P5	RD	**Milestones:** Deliver all aims of the 'Discovering Dartmoor's Wildlife Stories' (DDWS) project		**Milestones:** Volunteer programme in place to deliver DDWS project		**Milestones:** Final interpretation elements installed at entrance and volunteer programme developed in conjunction with HR		**Milestones:**	
				Progress: All building and interpretation works have been completed	(green)	**Progress:** Volunteer programme not developed - to concentrate on key visitor season. Lack of capacity in Ecology due to staff departures has meant this element of the project not a priority	(amber)	**Progress:**		**Progress:**	
14	Review visitor behaviour concerning key management issues such as dogs, litter, cycling and camping. Evaluate and develop key campaigns to influence and alter visitor behaviour; continue to monitor and manage recreation events, and encourage visitors to contribute to the Donate for Dartmoor programme	P1, P4, P5, P6	SH	**Milestones:** Scoping meeting and project plan by end of Q1		**Milestones:** KPIs agreed. Key messages developed to test with target audience and stakeholders		**Milestones:** Develop campaign material and test with target audience and stakeholders		**Milestones:** Launch seasonal campaigns, timed as appropriate	
				Progress: not achieved due to workload	(amber)	**Progress:** plan discussed with external supplier and costed. Scoping meeting not yet booked due to workload of SH and AW (Moor Otters and Tour of Britain especially)	(amber)	**Progress:**		**Progress:**	
16	Increased landowner and community engagement in the management and maintenance of public rights of way (PROW)	P3, P5	RS	**Milestones:** Letter to all parish councils. Programme of community action days identified. Quarterly programme of volunteer days focused on PRoW agreed. Process of monitoring landowner contributions to ProW management agreed. Guidelines for how Rangers will pick-up landowner liaison agreed with LT		**Milestones:** Delivery of up to 9 community action days. Feedback to LT on landowner liaison and activity.		**Milestones:** Rolling 3 year investment plan for PRoW infrastructure completed and presented to LT (based on PRoW survey)		**Milestones:** Progress report to Audit and Governance Committee	
				Progress: Letter to Parish Councils held over until next quarter. Quarterly programme of volunteer days programmed and future days planned. CAMS recording sheets adapted to account for landowner works.	(red)	**Progress:** Letter to parish councils sent in August. Landowner advice leaflet distributed. Three community action days arranged (limited take up). Cooperation from landowners in some cases.	(amber)	**Progress:**		**Progress:**	
17	Planned delivery of key development sites	P1, P5	SB	**Milestones:** Chagford site committee resolution and formal decision to be issued. Provide pre app advice on Chuley road developments Tuckers, and Outdoor Experience sites in particular		**Milestones:** Complete S106 Agreement and issue decision for Chagford scheme. Offer pre app advice on Chuley road sites		**Milestones:** Revised application submission anticipated for Tuckers , Chuley Road		**Milestones:** Application submission anticipated for Outdoor Experience site, Chuley Road	
				Progress: Committee report and resolution achieved May 2016, continue discussions on S106 with key stakeholders, drafting of agreement now in progress and a number of meetings held. Ashburton Masterplan now rescinded. Tuckers site on hold pending revised plans from landowner. Outdoor Experience site awaiting pre app request from landowner/developer	(amber)	**Progress:** Further progress made on S106 for Chagford but given number of parties and complications with affordable housing and other clauses to be agreed with 5 other parties this is proving complex. Hopeful that agreement can be reached and permission issued in q3 before Christmas. Preliminary advice offered on Chuley Road to landowners but still no applications yet forthcoming.	(amber)	**Progress:**		**Progress:**	

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)	
18	Develop and promote a comprehensive programme of volunteer opportunities across the Authority to support our various work programmes	P5	NW	**Milestones:** Establish steering group/sounding board for ideas, guidance and ensuring we learn from current practice. Explore options to conclude volunteer research project, overseeing and providing leadership as required.		**Milestones:** Comprehensive programme of volunteering in place by end of September 2016 with a pro-active approach to marketing; clear links to existing volunteer groups so that we are not seen as acting in competition; a strategy for filling the gaps (i.e. key localities without an existing volunteer group); and, working with Sam Hill, identify opportunities for external funding and an 'organisational volunteer offer' (i.e. how we might target volunteers from businesses, other public sector organisations and community bodies).		**Milestones:** Consider how we support and acknowledge the contribution made by volunteers for the Authority.		**Milestones:** Evaluation paper to follow looking at how we might sustain an appropriate volunteer offer	
				Progress: Temporary 6 month secondment not successful. In discussion with Exmoor to provide support/expertise to deliver identified outcomes. Current concern regarding internal capacity to manage effectively.	🟧	**Progress:** Developed project proposal with Exmoor but not taken forward. Discussed with LT 20/09. NW to consider next steps.	🟧	**Progress:** NW building up 'internal intelligence' through discussion with key staff, in conjunction with liaison with Exmoor about potential workshop and other support.		**Progress:**	
19	Rural productivity and growth - programme of activity to support this agenda within the National Park	P2, P4, P5	KB	**Milestones:** Proposal (joint with Exmoor NPA) submitted to Defra. Other milestones dependent on outcome from discussion with Defra		**Milestones:** Dependent on funding		**Milestones:** Dependent on funding		**Milestones:** Dependent on funding	
				Progress: Proposal submitted to Defra (May). No communication back. Neil Parish (Chair EFRA Select Committee briefed). Discussing potential of funding this work in partnership with district/borough councils. Future milestones remain dependent on funding.	🟧	**Progress:** George Eustace MP (Minister for Farming) visited in August and was briefed on RPN, Deputy Director responsible for rural development to discuss the proposal on 21 October. Future milestones remain dependent on funding.	🟧	**Progress:**		**Progress:**	
25	Deliver Moor than Meets the Eye projects where the Authority is the lead partner: - Parishscapes - Dartmoor Diploma	P5	ES MA (MA)	**Milestones:** **Parishscapes** - 8 in total agreed **Dartmoor Diploma** - contract for delivery partner awarded		**Milestones:** **Parishscapes** - 8 in total agreed **Dartmoor Diploma** - contract for delivery partner awarded and modules under development		**Milestones:** **Parishscapes** - work towards 12 in total agreed **Dartmoor Diploma** - TC appointed and modules under development / alternative delivery combined with MoorSkills2 subject to PCF bid		**Milestones:**	
				Progress: **Parishscapes** - Ahead of schedule with 11 of the parishes underway/in development **Dartmoor Diploma** - tender for training coordinator delivery partner not yet live	🟥	**Progress:** **Parishscapes** - Ahead of schedule with 11 of the parishes underway/in development **Dartmoor Diploma** - tender for training coordinator re-run after no tenders received in first phase. Potential for combined delivery with MoorSkills2 as part of PCF bid	🟧	**Progress:**		**Progress:**	
26	Develop a greater understanding of current research relating to the National Park through, for example, hosting a research workshop/conference	P1, P5, P6	JM	**Milestones:** Scoping meeting in May and agree date for workshop		**Milestones:** Agreeing speakers and format for the workshop. Advanced publicity		**Milestones:** Workshop delivered and evaluated to learn lessons		**Milestones:** COMPLETED	
				Progress: Not started. Review required.	🟥	**Progress:** Suggested revised date for Feb-Mar 2017 being researched. Recently appointed Research & Projects Officer to progress.	🟧	**Progress:**		**Progress:**	

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)
1	Develop with partners an evidence-based vision for the future management of Dartmoor's peatland	P1	NB	**Milestones:** Magnificent Mires bid submitted April 2016. Pumlomen trip June 2016	**Milestones:** Peatland study completed July 2016. Magnificent Mires decision June 2016. Peatland Partnership meeting Aug 2016 - agree vision & timeline	**Milestones:** Future work and potential milestones will depend upon outcome of Magnificent Mires bid and results from Peatland Study.	**Milestones:**
				Progress: Magnificent Mires bid submitted and positive outcome. Pumlomen trip went ahead with a mix of commoners and members of the peatland partnership.	**Progress:** Peatland Study completed successfully. Magnificent Mires bid successful. Peatland Partnership meeting took place in July.	**Progress:**	**Progress:**
2	Engage communities with Dartmoor wildlife through projects such as: - Non-native invasive species control project - Bird project	P1, P5	NaB	**Milestones:** Non-native species: on site treatment of skunk cabbage. **Birds:** DNPA outreach and Ranger staff briefed. Community Ambassadors appointed. Outreach activity starts. Ranger Ralph event - June. Yarner Spring Festival - May.	**Milestones:** Non-native species: two volunteer task days (skunk cabbage). One community day focused on Balsam **Birds:** Outreach activity completed; Haytor Wildlife Festival - July	**Milestones:** Assess progress across both themes and review	**Milestones:** Consider roll out proposals.
				Progress: Three days spent on site treating skunk cabbage testing different techniques. House Martin outreach activity undertaken with talks, RR, Spring festival. Outreach and Ranger staff briefed who are now assisting with HM activities at shows.	**Progress:** Balsam volunteer task held at Yarner in July (MTMTE). Continued survey work at Postbridge. North Bovey Conservation Group and residents engaged to survey, monitor and manage problem sites across North Bovey parish. **Birds:** Outreach activity continued weekly throughout August at Haytor and Postbridge Visitor Centre Wildlife Wednesdays. Public recording via website.	**Progress:**	**Progress:**
3	Dartmoor Natural Capital Project - develop our use of the natural capital approach as a potential framework for State of the Park reporting; examine the potential for new markets for environmental services, and develop the role of the Authority as an environmental broker in such markets	P1	KB	**Milestones:** Scope how we will deliver this project with project plan developed by end of Q1 and identify appropriate milestones	**Milestones:** Input to South West Partnership for Environmental and Economic Prosperity research centre bid as mechanism for delivering Natural Capital Account. Research and Projects Officer appointed.	**Milestones:** Research and Projects Officer commences work on State of the Park report. Funding decision on SWEEP announced.	**Milestones:** State of the Park Report completed (January). Presentation to NPMP Delivery Board. Commence work with LEEP on Natural Capital Account (subject to funding)
				Progress: In principle support from , Land, Environment Economics and Policy Institute that they will support production of Natural Capital Account if their research bid to NERC for South West Environmental and Economic Prosperity centre is successful. Waiting for Grant Thornton to confirm whether they are able to offer any support. Recruitment process for a Research and Projects Officer commenced - this post will provide capacity to complete the SofP report in absence of forward planner post.	**Progress:** SWEEP bid submitted. Research and Projects Officer appointed. No further communication from Grant Thornton so we are left to assume they are not interested. Waiting to hear from Natural England about potential support.	**Progress:**	**Progress:**

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)
6	Sustain the role of the Hill Farm Project as a catalyst and vehicle for collaborative action with and between farmers	P2, P4	AK	**Milestones:** Sponsorship pack to 6 core businesses. Facilitation Fund decision in April.	**Milestones:** Comms about new charges - July. Clarity about future projects/priorities for HFP to inform funding bid. Initial conversation with potential grant funders.	**Milestones:** Submit potential bid to Prince's Countryside Fund October. Charges commence 1.9.16.	**Milestones:** Dependent on funding bid(s). Decision on PCF
				Progress: Facilitation Fund bid not successful. Sponsorship progressing slowly. " Membership" scheme launched - take up slow.	**Progress:** "Supportes" scheme introduced, slow start but interest gaining momentum.. HFP Steering Group have agreed future priorities.	**Progress:** Bid to PCK submitted 13 October	**Progress:**
7	Sustainable land management - ensuring a landscape scale approach to land management and the delivery of agri-environment schemes	P1, P2, P4	AK	**Milestones: Facilitation** Fund decision April 2016 - future milestones dependent on funding decision	**Milestones:**	**Milestones:** Monitor Facilitation Fund for next round applications.	**Milestones:**
				Progress: Facilitation Fund bid not successful. We are now looking at other options through a bid to the Project Fund for additional officer support.	**Progress:** Funding from DNPA Project Fund has been allocated to a three year post Farming and Community Wildlife Assistant to support this work. Start date 14 November.	**Progress:**	**Progress:**
8	Support implementation of the All the Moor Butterflies project	P1, P5	NB	**Milestones:** Project submitted to HLF by end of Q1 - led by Butterfly Conservation	**Milestones:** HLF decision - September. Future milestones dependent on funding decision.	**Milestones:**	**Milestones:** Project start - January
				Progress: Bid submitted to HLF at the end of June. Decision expected in autumn, with Project to start in early 2017 if successful.	**Progress:** Decision pending	**Progress:**	**Progress:**
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)
11	Building on the Ranger Ralph and Junior Ranger programmes, scope and develop a programme of work to increase engagement with young people and develop associated external funding bid to provide the resources to implement the programme	P3, P5	OR	**Milestones:** Meeting to discuss scope - May. Work up proposals internally - June.	**Milestones:** Initial discussion - possible fundraising partners - July.	**Milestones:** Review year 2 of Junior Ranger pilot. Write potential bid - October - December.	**Milestones:** Submit January - if HLF?
				Progress: Scoping meeting 10th of May; LT report pulled together by Projects Officer 28th June; internal development mtg planned for 18th July. Option report prepared by Senior learning & Outreach Officer for discussion by project group September.	**Progress:** Further discussions (30 Sep; 3 Oct) with clear action plan to develop a worked up bid by end of October to start external discussions with potential delivery partners and HLF.	**Progress:**	**Progress:**

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)	
15	Deliver the Naturally Healthy Project; evaluate and consider how it might be rolled out	P3, P5	OR	**Milestones:** Focus for this 'delivery year' is to: • Increase Health & Community organisations involvement in the project. • Start creating Green Prescription processes with Buckfastleigh Medical Centre • Start delivering pilot activities		**Milestones:** 1. Continue to develop and deliver the 'Buckfastleigh naturally healthy Group' - activities and infrastructure to support post-project. 2. Start focus groups and individual interviews as part of Plymouth University evaluation process.		**Milestones:** 1. Continue evaluation processes started in q2. 2. Review success / barriers to green prescription 'medical model' roll out.		**Milestones:** Review delivery of project based community interventions - use early findings from evaluation process to work up clear exit strategy.	
				Progress: Continued relationship building with both community organisation in Buckfastliegh and the medical practice, especially through use of NH volunteer, has resulted in 14 activity days for 112 participants being delivered across a range of age and social profiles. Recruitment through GP referral has proved more challenging but surgery is very supportive - currently in fourth iteration of a 'green prescription' pilot. All activity will be evaluated by Plymouth University as part of the 'action research' focus of this project.	(yellow)	**Progress:** 1: successful development within Buckfastleigh of a 'core group' to support Naturally healthy into the future which has included Buckfastleigh & Ashburton carers plus JellyFish Youth film (mental well-being) project which was successfully premiered at Princetown Visitor Centre. 2. Evaluation 'research phase' well under way with focus groups and one to one interviews with key stakeholders completed. 'First findings' and comparison with Exmoor project research meeting planned for December 2016.	(green)	**Progress:**		**Progress:**	
20	Continue the review of the Local Plan	P1, P2, P4, P5	DJ	**Milestones:** Establish Member Steering Group. Complete Consultation and Engagement Strategy. Finalise Project Plan (LT).		**Milestones:** Agree comms strategy and designs, web site content. Start focussed comms and discussions. Draft Issues Paper. Publish AMR. Commission initial research papers. Appoint to secondment. Review consultee list. Hold Member Steering Group meeting.		**Milestones:** Consult on Issues Paper. Hold focussed consultation. Draft call for sites. Housing SPD Draft and consultation. Commission Landscape Character Assessment; SA/SEA and HRA. Hold Member Steering Group meeting.		**Milestones:** Review issues consultation. Draft Reg 18 paper. Adopt Housing SPD. Complete LCA review. Hold Member Steering Group meeting.	
				Progress: Annual Monitoring Report drafted, Local Plan review programme begun, Issues paper drafted, Secondment of DM planner into forward planning team commenced	(yellow)	**Progress:** Web content and social media set up Issues paper published Community engagement dates set for autumn Further Member steering group held Further work carried out on Affordable housing SPD AMR published	(green)	**Progress:**		**Progress:**	
21	Scope and develop potential for wider use of apprenticeships and an internship programme across the Authority and seek funding to support this	P6	NW	**Milestones:** Scoping paper to LT on different levels of apprenticeships, funding options and the implications of the apprenticeship levy.		**Milestones:** Develop detailed proposals for a Dartmoor apprenticeship programme that meets our requirements, builds on existing good practice and offers a rewarding programme for apprentices. Specific timetable TBD after discussion at LT but programme to be in place by end of 2016/17.		**Milestones:** Ongoing development of apprenticeship programme; as part of this work evaluate current internship and consider whether we should offer future internships		**Milestones:** Apprenticeship (and internship?) programmes in place	
				Progress: Scoping paper completed. Agreed to introduce 3 apprenticeships during 2016/17. Detailed proposals being developed.	(green)	**Progress:** Digital Comms Apprentice appointed. Conservation Works Apprenticeship developed (to be advertised in Q3). Ecology Apprenticeship not progressed due to staff changes. Costs for rolling programme of 3 apprenticeships provided for MTFP.	(green)	**Progress:**		**Progress:**	

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)	
22	Manage the Dartmoor Communities Fund	P5	JRu	**Milestones:** Secure funding from Districts. DCF promoted & open to Applications		**Milestones:** Full applications received and assessed. Consultations sent out and assessment panel held. 2015/16 awards spent or issued final reminder.		**Milestones:** Award letters issued. Report submitted to Districts. If required promotion for round 2 undertaken and open to applications. 2015/16 any unspent awards reallocated unless exceptional circumstances.		**Milestones:** 100% fund allocated. Full funding secured from Districts and Authority agreement in place.	
				Progress: Full funding secured, New fund launched inc. new small grants pot, website updated & PR issued, fund opened to EOI end May 2016. In excess of 30 eligible EOI received by end of June.	green	**Progress:** Just do it grants awarded. Revised decision date of 31st October for decision on full applications	green	**Progress:**		**Progress:**	
23	Implement a proactive programme to develop new funding streams to support the work of the Authority both locally through the Donate for Dartmoor programme and at a national level through support for National Parks Partnerships Ltd	P6	SH	**Milestones:** Donate for Dartmoor projects developed with marketing material/brand. Key business leaders identified and first business networking event undertaken		**Milestones:** Donate for Dartmoor launched and promoted through new website, social media and visitor centres.		**Milestones:** Dartmoor card scoped and developed to launch with new car parking charges. Corporate volunteering scoped ready to pilot		**Milestones:** Dartmoor card launched for 17/18. Corporate volunteering soft launched with small select group. Donate for Dartmoor evaluated and projects developed to fund for 17/18. Fundraising evaluation report to Authority	
				Progress: Projects and materials developed for Donate For Dartmoor, web pages live, donation boxes ordered. On track. Business networking event cancelled. Public arts initiative developed and tender issued.	green	**Progress:** Donate for Dartmoor launched and promoted. Moor Otters agreed with members and launched as major fundraising project	green	**Progress:**		**Progress:**	
24	Complete a survey of Dartmoor residents	P6	DH	**Milestones:** Start reviewing 2013 questions		**Milestones:** Review questions posed in 2013 and consider (via LT) need for any new/replacement questions. Procure the survey (external provider)		**Milestones:** Review questions posed in 2013 and consider (via LT) need for any new/replacement questions. Procure the survey (external provider)		**Milestones:** Survey completed, data analysed and report submitted to DNPA	
				Progress: Not started, but will not delay progress	green	**Progress:** Initial meeting to agree way forward taken place. Review of questions to take place in Q3 via task & finish group	green	**Progress:**		**Progress:**	

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2014/15	Outturn 2015/16	Target 2016/17	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Outturn
SUSTAINConservation of the Natural and Historic Environment										
S3	Number of scheduled monuments 'at high or medium risk' conserved during the last 3 years	AC	20	18	18					**Reported annually**
S4	% Length of water courses with 'high' or 'good' ecological status	CG	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)					**Reported annually**
S4	% Length of water courses with 'moderate' ecological status	CG			31% (Data supplied by Environment Agency)					**Reported annually**
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**	43 sites left to survey for baseline	surveys to be carried out Q3	surveys to be carried out Q3			
	b) % of known erosion sites stable or improving	RS/SB		55%	90%					**Reported annually**
Be an Excellent Organisation										
S10	% of income derived from sources other than National Park Grant	DH	24%	21%	25%					**Reported annually**
S11	% change in CO$_2$e from DNPA operations **(NB: Higher Uppacott was excluded in previous years)	Finance	Buildings: 119,980kg Transport: 99,284kg	Buildings: 112,522kg - 6.5% Transport: 101,356kg +2%	0%	**Buildings: 26,210kg +11.71% Transport: 24,773kg -4.13%	Buildings: 19,969kg +1.49% Transport: 24,181kg -4.29%	Buildings: Transport:	Buildings: Transport:	
			Total: 219,264kg	Overall: 213,876kg -2.45%			Year to date: Bldgs: 46,179kg Transport: 48,954kg	Year to date: Bldgs: Transport:	Year to date: Bldgs: Transport:	
S12	Number of working days lost due to sickness per Full Time Equivalent (FTE)									
	a) including long term absence	NW	9.19	9.78	7	5.69	5.20			
	b) excluding long term absence		5.14	4.19	4	4.41	3.89			

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2014/15	Outturn 2015/16	Target 2016/17	Quarter 1	Quarter 2	Quarter 3	Quarter 4	**Outturn**
S13	% of enforcement cases resolved without the need for formal action	NS	88%	93.10%	90%	89.2%	90.2%			
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%	Authority: 84% Development Mgt: 86% Audit & Gov'nce: 75% Overall attendance: 84%	Authority: 84% Development Mgt: 87% Overall attendance: 85%	Authority: Development Mgt: Audit & Gov'nce: Overall attendance:		
S15	% of invoices paid on time	CAR	99.92%	99.92%	98%	100%	100%			
S16	% of planning applicants satisfied with quality of the service received	SBe/Planning	Not collected	Not collected	89%				Survey results due in Q4	
S17	% of appeals allowed against DNPA decision to refuse consent (low figure is positive)	SBe/Planning	35%	43.70%	33%	57.0%	30%			
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	54,793	84,446			
	a) Haytor	RD	44,010	40,804	47,000	14,054	22,136			
	b) Postbridge	RD	57,524	59,150	55,000	19,186	27,960			
	c) Princetown	RD	64,283	73,472	73,000	21,553	34,350			
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%	69.0%		Results from November survey will be reported in Q3		**Reported annually based on combined results from May & November**
E3	Number of visitors to the National Park	RD	2.183	2.31	2.25m					**Reported annually**
E4	a) Number of litter bags collected by DNPA staff or volunteers	RS/SB	651.5	704	600	268	349			
	b) Cost of disposing of litter collected (includes Tavi Taskforce collection costs)	RS/SB	£21,223	£19,470	£22,250	£4,415	£7,425			

Performance Indicators 2016/17

| Ref No. | How will we measure our achievement | Responsible Officer | Outturn | | Target | Quarter 1 | Quarter 2 | Quarter 3 | Quarter 4 | **Outturn** |
			2014/15	2015/16	2016/17					
E6	Residents' satisfaction survey	DH	Frequency of reporting: 3 years	Not undertaken in 2015/16	Due in 2016/17				completion due by year end	
E7	Vistors Satisfaction: (a) survey	RD	Frequency of reporting: 3 years	Survey to be developed	Survey completed			Survey results due in Q3		
	(b) Trip Advisor (stars achieved)	RD		4.5 stars	4.5	10 reviews	35 reviews			
E9	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)	OR/RS/SB	547 22.8%	466 xxx%	500	87.5 25%	116 29%			
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	10 (2)	19 (2 + 4 others not notified)			
	number of people participating	AW/SB	10583 (5330)	11,303 (6,538)	reduce number of very large events	765 (4000)	4545 (1500 + unknown)			
E11	Number of events organised by DNPA	CP	52	26	20	1	0 (Higher Uppacott)			
	a) Number of people attending	CP	493	1,326	1000	10	0			
	b) % satisfied or very satisfied with the events	OR	97.40%	88.50%	90%	No returns	90% (returns from Meldon Wildlife Festival)			
E12	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) Identifie key activities undertaken; 3) Provide some qualtifiable 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					**Reported annually**
PROSPER Work towards ensuring Dartmoor has a thriving economy										
	% 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	SBe/Planning	25% *7	50% *1	60%	0.00%	0.00%			

Performance Indicators 2016/17

Ref No.	How will we measure our achievement	Responsible Officer	Outturn		Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	**Outturn**
			2014/15	2015/16	2016/17					
P1	b) minor applications determined within 8 weeks	SBe/Planning	75.70%	74%	65%	62.70%	77.60%			
	c) other applications determined within 8 weeks	SBe/Planning	87%	85%	80%	78.20%	86.50%			
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	88.40%	91.20%			
	b) % of pre-applications which have been dealt with within 28 days	SBe/Planning	n/a	n/a	new PI - baseline year	78.00%	65.00%			
P3	a) Total number of volunteer days organised or supported by the NPA	NW/RS/SB	2573	1,914.75 (incomplete data)	2,600	339	389			
				£75/vol day	£75/volunteer day					
	b) Value (expressed in £) of volunteer days	NW (via NPE)	£128,650	TBC	£195,000	£25,425	£29,175	£0	£0	
P5	Number of affordable housing units approved	DJ	17	13	30	1	0			

Performance Indicators 2016/17

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2014/15	Outturn 2015/16	Target 2016/17	Quarter 1	Quarter 2	Quarter 3	Quarter 4	**Outturn**
Improve support to and engagement with local communities										
P8	Media articles in WMN & Tindle Group [Dartmoor] papers	SH/MN	332	498	350	83	135			
	Number of:									
P9	a) Followers on Social Media	SH/MN	8231	10,200	20,000	17,636	18,899			
	b) Subcribers to e-communications (running total)	SH/MN	1263	1,276	2,000	1,739	2,128			
	c) % opened	SH/MN	47%	44%	45%	44%	42%			
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	93,106 / 784,796	104,202 / 955,467			
P11	% of Parish meetings attended at least once in the year	PB	85%	91.5% (43 of 47)	86%					**Reported annually**
	Number of Parish meetings attended by:									
	a) Rangers / Officers	SB/PB		41	47	20 (Rangers)	5 (Rangers)			
	b) Members	PB	44	46		9	6			
P12	DNPA attendance at Local shows									
	a) Number of shows attended	CP	17	17	17	7	29			
	b) Number of contacts made	CP	1772	1,694	2000	1,265	3,088			
P13	Number of parishes engaged in preparing a community led plan during the year with advice /assistance from DNPA	JR	6	8	6	8	8			
P14	Donate for Dartmoor - Nature Fund	LT			baseline year will develop target for 2017/18	0	£233			
P14	Donate for Dartmoor - Recreational Fund	LT			baseline year will develop target for 2017/18	£8,497	£2,094			
P14	Donate for Dartmoor - Cultural Heritage Fund	LT			baseline year will develop target for 2017/18	0	£36			

Performance Indicators 2016/17

Ref No.	How will we measure our achievement	Responsible Officer	Outturn		Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	**Outturn**
			2014/15	2015/16	2016/17					
P14	Donate for Dartmoor - General Fund	LT			baseline year will develop target for 2017/18	£1,087	£2,233			
P14	£ for the Park	LT		£11,000	£11,000	£5,838	£1,156			

PERFORMANCE INDICATORS

PI No.	How we measure our achievement	National Park Mangement Plan (March)	Audit & Governance Committee (May / November / February)	Family
		REPORTED :		
S1(a)	% of SSSI land in the National Park as a hold 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	✓	✓	✓
	% 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	✓		
S7	a) Number of known erosion sites b) % of known erosion sites stable or improving		✓	

PI No.	How we measure our achievement	REPORTED :		
		National Park Mangement Plan (March)	Audit & Governance Committee (May / November / February)	Family
S8	% of utilisable agricultural land in National Park under agr-environment schemes (2013/14 baseline year)	✔		
S10	% of income derived from sources other than National Park Grant		✔	✔
S11	% change of CO_2e from DNPA operations **(NB: Higher Uppacott was excluded in previous years)		✔	
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)		✔	✔
E3	Number of visitors to the National Park	✔	✔	✔

PI No.	How we measure our achievement	REPORTED :		
		National Park Mangement Plan (March)	Audit & Governance Committee (May / November / February)	Family
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 scae 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		✔	
E12	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 qualitifiable outputs; 4) Information on outcomes wherever possible		✔	✔

PI No.	How we measure our achievement	REPORTED :		
		National Park Mangement Plan (March)	Audit & Governance Committee (May / November / February)	Family
P1	% of planning applications dealt with in a timely manner; a) major applications determined within 13 weeks 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		✔	✔ **(a only)**
P3	a) Total number of volunteer days organised or supported by the NPA b) Value (expressed in £) of volunteer days		✔	✔
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 % or total premises of National Park	✔		
P8	Media articles on WMN and Tindle Group [Dartmoor] papers		✔	
P9	Number of: a) Followers of Social Media b) Subscribers to e-communications (running total) c) % opened		✔	

PI No.	How we measure our achievement	REPORTED :		
		National Park Mangement Plan (March)	Audit & Governance Committee (May / November / February)	Family
P10	Number of unique visitors to website and 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		✔	
P14	Donate for Dartmoor: a) Nature Fund b) Recreational Fund c) Cultural Heritage Fund d) General Fund e) £ for the Park		✔	

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

4 November 2016

2016/17 STRATEGIC RISK REGISTER

Report 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, including the specific addition of the Moor Otters Project (F5), 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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2016/17

Risk Category : PERFORMANCE

Risk Ref P1	Risk Description Ineffective internal communication	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Consequence if no action 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	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. *Team Dartmoor* Days Regular service and team meetings 'Time Well Spent' middle managers meeting Intranet & website Regular briefings to Members and two officer/Member working panels	2	4	8
Additional control measures planned					
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.					
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 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					

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				
	Consequence if no action 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	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	3	3	9

Additional control measures planned
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.

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
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

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)				
	Consequence if no action Individual and organisational performance not monitored. Low achieving Authority Unclear targets and objectives. Resources not targeted Reputational risk for the Authority. More complaints.	Business Plan & Annual Review Organisational Development Strategy Service planning/Service dashboards 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 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 Customer Service Standards introduced 2016/17	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 Committee Members (Chair, Deputy Chair + another A&G member attended training – October 2016)

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				
	Consequence if no action Management Plan actions not undertaken Ambitions not delivered	Extensive engagement with partners and stakeholders in development of the revised NPMP Pre-consultation to ensure partners are agreeable with actions and nominated lead organisation Revised Delivery Board Actions plans are reviewed and revised annually to take into consideration changes circumstances/ resources 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.	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 Clear agreed vision for the National Park Actions to achieve the Vision shared and owned by delivery partners Clear process for monitoring delivery and assessing progress towards the Vision					

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				
	Consequence if no action 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	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. 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. Ongoing monitoring of the effectiveness of this control mechanism. Planners need to be realistic about time scale on framework, particularly if legal work is required.	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.				
	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.	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 TDC 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. Health & Safety training provided at induction	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				
	Consequence if no action Incidents such as flooding, storms, fire, which could disrupt the business of the Authority. Possible restrictions on access imposed as a result of outbreaks of disease. Denial of access to key premises resulting in major disruption to service delivery. Financial – increased cost of provision of alternative working locations.	Emergency Planning. Close working relationship with police and other emergency services Staff awareness training (induction training). ICT Disaster Recovery plan H&S and Fire Regulations Alternate venues/home working available in the event of loss of office accommodation. Robust maintenance programme and risk assessments for operational property	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 organisational 'productivity'				
	Consequence if no action Failure to deliver corporate objectives. High stress levels and staff absence. Targets/improvement not achieved Staff unclear of roles & responsibilities in new structure	HR Policies 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. Implementation of the Organisational Development Strategy. Good internal communications/staff survey/feedback channels/liaison with representatives. Support to Managers and focus on developing management skills Proactive attendance management; provision of Employee Assistance Programme; OH service Quarterly review and discussion at LT (led by Head of OD) of 'temperature' of the organisation, identifying any pressure points (e.g. impact of sickness absence) and where additional support may be required. Provision of the Project fund within the budget to enable Officers to make in-year bids for to buy-in additional resource.	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 England's National Parks and the 25year Environment Strategy) Business Plan contains clear key actions which will be monitored.					

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

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.				
	Consequence if no action High stress levels Reduced productivity/delivery Poor performance Increase in complaints Reduced quality of work Contracts and obligations not fulfilled	Active staff management and support through a mixture of: • 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 **S5**	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Superfast Broadband Project (Connecting Dartmoor & Exmoor NPAs) – risks associated with project for DNPA				
	Consequence if no action Staff capacity to manage planning applications Planning application sites not in keeping with policy, local opposition and potential for DNPA to refuse – project delayed Reputational risk arising from DNPA seen to be preventing project progress Financial loss if project not delivered: £65k match funding committed	Additional capacity agreed for Planning Admin Identified Planning Team Manager to lead Effective communications strategy/plan Pre-application site visits and advice Effective communications strategy/plan	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 F1	Risk Description Potential for further reductions in National Park Grant (NPG) (after 2019/20) which is still our main source of income	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Consequence if no action Insufficient funds to meet statutory requirements and delivery of National Park Purposes. Failure to meet Performance Targets	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 .	4	5	20

Additional control measures planned

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" projectsSeek 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

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
Focused organisation with resources targeted to agreed priorities
Reduced reliance on NPG

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 F2	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	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					

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
F3	Appeals, Public Enquiries and enforcement action could expose the Authority to considerable financial risks and create poor PR				
	Consequence if no action Bad decisions that damage Dartmoor Significant budget overspend Loss of public confidence Poor PR	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	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					

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
F4	*Moor than meets the eye* Heritage Lottery Fund Landscape Partnership Scheme: risk to the Authority as lead partners regarding cashflow and reputation				
	Consequence if no action Reputational damage if the scheme is not delivered on time and to budget Potential cashflow issues for the Authority if the scheme is not delivered on time and to budget Reputational issues for the Authority as lead partners if local community not engaged and supportive of all projects	Scheme Manager appointed with strong project management experience. Continued dialogue through quarterly monitoring meetings with Community Stakeholders Group, Landscape Partnership Board, HLF and project Leads to share Scheme, Project and risk management Agreed Communications Strategy and Plan implemented and reviewed yearly. Some slippage is likely over the 5 year period, need to ensure implications are discussed and revisions agreed with Board and partners. 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	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					

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

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.			

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 Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F5	*Moor Otters*: Financial and reputational risk to the Authority				
	Consequence if no action Risk of financial loss from reserves if project does not generate anticipated income to cover outlay costs and generate additional income Reputational issues for the Authority if businesses, stakeholders and the public are not engaged and supportive of the project	Head of Communications, Economy & Fundraising is project manager, closely overseeing project as priority action. Member steering group set up. Clear plan to manage and promote the project. Project management contract has breakpoints included to reduce risk.	3	5	**20**

Additional control measures planned

Changes and risk to delivery identified early. Risk to be continually monitored.

Resources required:
Staff time and financial resources

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	3	3	12

Outcome
Successfully delivered project

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
G1	Fraud & Corruption				
	Consequence if no action Misappropriation of Authority resources (not always financial)	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	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					

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
G2	Inadequate procurement practice				
	Consequence if no action 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	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	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				

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 G3	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Inadequate management of partnerships and projects				
	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.	Risk Assessments. Standing Orders. Financial Regulations. Internal/External Audit. External partners' controls Parke House Project Management 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 G4	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Inadequate decision making process; inadequately documented decision making process				
	Consequence if no action Financial cost. Judicial reviews/Legal challenges. Loss of reputation. Demands on legal service time High level of complaints/appeals Information Commissioner adverse finding	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	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   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
G5	Changes in legislation/failure to implement new legislation or policy				
	Consequence if no action 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	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	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
AUDIT & GOVERNANCE COMMITTEE

4 November 2016

APPOINTMENT OF INDEPENDENT PERSON

Report of the Monitoring Officer

Recommendation: **That Members recommend Mr Mike Galt be appointed as an Independent Person to work alongside Mr Tim Stapleton.**

1   Introduction

1.1   Members will be aware that the Localism Act 2011 set out a new framework for standards matters in local authorities in England & Wales. Section 28(7) of the Localism Act provides that every local authority (which includes a National Park Authority) shall appoint at least one "independent person".

1.2   Section 28(8) provides that for the purposes of subsection (7)—

   (a)   a person is **not** independent if the person is—

      (i)   a member, co-opted member or officer of the authority,

      (ii)   a member, co-opted member or officer of a parish council of which the authority is the principal authority, or

      (iii) a relative, or close friend, of a person within sub-paragraph (i) or (ii);

   (b)   a person may not be appointed under the provision required by subsection (7) if at any time during the 5 years ending with the appointment the person was—

      (i)   a member, co-opted member or officer of the authority, or

      (ii)   a member, co-opted member or officer of a parish council of which the authority is the principal authority

2   Role content and Job Description

2.1   Members approved a Job Description for the role of Independent Person in May 2013 (Appendix 1).

3   Vacancies

3.1   It became apparent in early 2015 that both of the independent persons would be stepping aside in July 2015. At a meeting of the Standards sub-committee on 15 May 2015 it was resolved to advertise and seek to appoint two new independent persons.

3.2   An advertisement was placed in the Western Morning News situations vacant section in June 2015. The advertisement was also carried on the Western Morning News website for 7 days. The advertisement cost almost £1,000.

3.3 Although seven enquiries were received, unfortunately, only one completed application form was returned, by Mr Time Stapleton

3.4 Mr Stapleton, was interviewed and subsequently appointed in September 2015.

3.5 After discussing the vacancy for a second independent person, the Standards sub-committee resolved to seek a second independent person in the New Year (2016). It was also agreed that the Monitoring Officer should make direct approaches to individuals or public sector bodies who might be able to support the standards work of the authority.

3.6 This approach has been successful in identifying Mr Mike Galt as a candidate for appointment.

4   The Candidate

4.1 Mr Mike Galt, is a resident of Exeter who has recently retired after a career working for Zurich Municipal Insurance as a risk and insurance consultant. He describes his role with Zurich as a customer service one where he provided advice and assistance to customers. The Authority has been one of those customers for more than 10 years, and the Head of Resources and the Monitoring Officer have both worked with Mr Galt and benefited from his advice and support in insurance matters.

4.2 I have discussed the role of independent person with Mr Galt and explained the expectations of the role and anticipated level of commitment, in particular the programme of informal observations. Mr Galt attended the meeting of the Development Management Committee on 7 October as an observer and met briefly with the Chairman of the Authority and Mr Tim Stapleton.

5   Recommendation

5.1 Mr Galt has come forward as a volunteer and he is believed to be suitable for the role of Independent Person. It is recommended that his name is put forward for appointment as an Independent Person at the next meeting of the Authority.

5.2 Mr Galt will be invited to attend an introductory session with the Monitoring Officer, covering the Code of Conduct, probity in planning and an overview of governance issues, with a view to taking up his duties immediately following the next meeting of the Authority, subject to ratification of his appointment.

5.3 Although the Standards sub-committee has not received a formal complaint about Member conduct for several years, it is still considered important for the Authority to have the input and availability of two Independent Persons.

6   Financial Implications

6.1 Each Independent Person is entitled to receive an allowance of £188 per annum together with reasonable travelling expenses at £0.45 a mile

6.2 Other than officer time, there are not expected to be any costs incurred in the recruitment and appointment process.

7   Equality and Sustainability Impact

7.1   An effective standards regime will help ensure that Members, officers and the public are treated fairly, openly and with respect. Independent monitoring of conduct, governance and transparency will help promote equality, prevent discrimination and achieve respect for diversity.

<div align="right">CHRISTOPHER WALLEDGE</div>

Attachments: Appendix 1 – Independent Person Specification

2016 11 04 CRW Independent Persons

INDEPENDENT PERSON SPECIFICATION

	Essential	Desirable
Qualifications:		
• No specific qualifications or background is required		
Knowledge and Skills		
• A good communicator with questioning skills	✓	
• Assertive	✓	
• Inquisitive, open-minded and non-judgemental	✓	
• Perception of the potential contribution of Committee		✓
• Understanding of the Standards Committee's main functions	✓	
• General understanding of the principle behind the Members' Code of Conduct		✓
Experience:		
• A demonstrable interest in local issues		✓
• Experience in committee working/weighing evidence and dealing with ethical issues		✓
• An interest in public service and local government in particular	✓	
• Live and/or work in the area		✓
Competencies:		
• A person in whose impartiality and integrity the public can have confidence	✓	
• Understand and comply with confidentiality requirements	✓	
• Capable of working well with Members and Officers	✓	
Other Requirements:		
• To formally agree to observe the Local Code of Conduct for Members including completing a Declaration of Financial and Other Interests. This register is available to be viewed by members of the public.	✓	
• Able to attend programmed meetings and ad hoc if required and devote preparation time for each meeting.	✓	
• Must not be disqualified from standing for election as a councillor, ie been adjudged bankrupt or been sentenced to a term of imprisonment for a period of not less than three months in the past five years.	✓	

	Essential	Desirable
• Must not currently have and must not enter into any contractual relations with the Authority under which he/she will gain personally.	✓	
• Will have disclosed to the Authority any matter in his/her background which, if it became public, might cause the Authority to reconsider the appointment.	✓	
• Will not have been an active member of any political party or have a public profile in relation to political activities.	✓	
• Will not have been a member or officer within local government in the previous five years and is not a relative or close friend of a member or officer of the Authority.	✓	
• Committed to serve a three year term of office.	✓	