

Internal Audit

Audit Committee Annual Internal Audit Report 2022/23 and Proposed Plan 2023/24

Dartmoor National Park Authority

Xxx – insert date of Committee Meeting Official



Support, Assurance and Innovation

Contents

INTRODUCTION	3
AUDIT ASSURANCE STATEMENT	4
VALUE ADDED	5
EXECUTIVE SUMMARY (S)	5
CUSTOMER VALUE	
Public Sector Internal Audit Standards (PSIAS)	7
APPENDIX 1 - SUMMARY OF AREAS REVIEWED DURING 2022/23	8
APPENDIX 2 - DEFINITIONS	9
APPENDIX 3 – AUDIT AUTHORITY	10 11

Devon Audit Partnership

The Devon Audit Partnership has been formed under a joint committee arrangement comprising of Plymouth, Torbay, Devon, Mid Devon, North Devon, Torridge, South Hams and West Devon councils. We aim to be recognised as a high-quality assurance service provider in the public sector. We work with our partners by providing a professional internal audit service that will assist them in meeting their challenges, managing their risks and achieving their goals. In carrying out our work we are required to comply with the Public Sector Internal Audit Standards along with other best practice and professional standards. 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 tony.d.rose@devon.gov.uk

Confidentiality and Disclosure Clause

This report is protectively marked in accordance with the Government Security Classifications. It is accepted that issues raised may well need to be discussed with other officers within the Council, the report itself should only be copied/circulated/disclosed to anyone outside of the organisation in line with the organisation's disclosure policies.

This report is prepared for the organisation's use. We can take no responsibility to any third party for any reliance they might place upon it.



Introduction

This report provides a summary of the performance against the Internal Audit plan for the 2022/23 financial year, highlighting the key areas of work undertaken and summarising our main findings and recommendations aimed at improving controls, and provides our overall Annual Assurance Opinion.

The key objectives of the Devon Audit Partnership (DAP) have been to provide assurance to Devon County Council on the adequacy, security and effectiveness of the systems and controls operating across the Council and to provide advice and assurance to managers and staff.

The Internal Audit plan for 2022/23 was presented to, and approved by, the Audit Committee in May 2022. The following report and appendices set out the overall Annual Assurance Opinion.

In addition, this report provides the outline plan for 2023/24.

The Public Sector Internal Audit Standards require the Head of Internal Audit to prepare a report providing an opinion at the end of each year that can be used by the organisation to inform its governance statement. Devon Audit Partnership was externally assessed in December 2021 against the framework and confirmed to be conforming with the requirements of the PSIAS.

The level of risk associated with each of the areas in Appendix 1 has been determined either from the Local Authority's Risk Register (LARR), or the Audit Needs Assessment (ANA) carried out at the planning phase. Where the audit was undertaken at the request of client it has not been risk assessed. Assurance and recommendations should be considered in light of these risk levels and the impact this has on achievement of corporate / service goals.

Expectations of the Audit Committee from this report

Members are requested to consider: -

- The opinion statement within this report.
- The completion of audit work against the plan.
- The scope and opportunity of audit to complete the audit work.
- Any audit findings provided.
- The overall performance and customer satisfaction on audit delivery.



In review of these the Audit Committee are required to consider the assurance provided alongside that of Corporate Risk Management and satisfy themselves from this assurance that the internal control framework continues to be maintained at an adequate level to mitigate risks and inform the Executive for governance requirements.

Tony Rose Head of Devon Audit Partnership



Audit Assurance Statement

Overall, based on work performed during 22/23 and our experience from the previous year's audit, the Head of Internal Audit's Opinion is of "Substantial Assurance" on the adequacy and effectiveness of the internal control framework within the Authority.

We carried out a review of the Authority's Financial Systems. As a result of our review, we were able to give an audit opinion of "Substantial Assurance" as detailed above. Where weaknesses have been identified management have agreed these findings and have either agreed the recommendations or accepted the associated risks.

Leadership have been provided with details of Internal Audit's opinion on each audit review carried out in 2022/23. All audit

reports include an action plan which identifies responsible officers, and target dates, to address control issues identified during a review.

Internal Control Framework

The control environment comprises the Council's policies, procedures and operational systems including processes in place to establish and monitor the achievement of the Council's objectives; facilitate policy and decision making; ensure economical, effective and efficient use of resources, compliance with established policy, procedure, law and regulation; and safeguard the Council's assets and interests from losses. Core financial and administrative systems were reviewed by Internal Audit.

Risk Management

Risk Management process at strategic and operational levels remain in place. The production of a DCC Strategic Plan will allow the new and existing risks to be directly linked to the achievement of the core objectives.

Governance Arrangements

Governance arrangements have been considered in all our audits but Performance is with opportunities to improve consistency or alignment to business monitoring at need. We will continue to review the improvements to governance and control arrangements in 2022/23.

Performance Management subject to management level.

If significant weaknesses have been identified in specific areas, these will need to be considered by the Council in preparing its Annual Governance Statement for the Statement of Accounts for 2022/23.

	bstantial	A sound system of governance, risk management and control exists, with internal controls operating effectively and being consistently applied to support the achievement of objectives in the area audited.	Limited Assurance	Significant gaps, weaknesses or non-compliance were identified. Improvement is required to the system of governance, risk management and control to effectively manage risks to the achievement of objectives in the area audited.
_	surance	There is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the area audited.	No	Immediate action is required to address fundamental gaps, weaknesses or non-compliance identified. The system of governance, risk management and control is inadequate to effectively manage risks to the achievement of objectives in the area audited.



Value Added

We know that it is important that the internal audit services seek to "add value" whenever it can. We obtained feedback from those audited during the year to date who considered we were able to add value by:

- Providing objective and relevant assurance.
- Contributing to the effectiveness and efficiency of the governance, risk management and internal control processes.

Executive Summary (s)

In our opinion and based upon our audit work completed and direct advice provided we can report that internal controls continue to operate effectively and where recommendations for improvements have been made action plans have been agreed with management.

Dartmoor National Park Authority's Finance Department is made up of knowledgeable and competent staff managed by the Head of Business Support who, along with the Senior Finance Officer, have an extensive understanding of the financial administration of the Authority and are closely involved with its day to day running and continue to set high standards. The Head of Business Support joined the Authority in October 2021 just at the end of the previous year's internal audit.

Some findings and recommendations have been made in relation to bank reconciliations and the processing of transactions in Finest. Currently the finance team are behind in being able to process GPC card, car parking banking and visitor centre banking transactions in finest and therefore unable to complete the bank reconciliation process. Firstly, this is due to the team being reliant on staff providing the information in order for transactions to be processed. The team have to chase this regularly and was evident during testing. Secondly the income processing for car parks and visitor centres is a manual process and due to staffing issues, they have been unable to process them promptly as it is a timely process. These areas were brought to the attention of the auditor prior to the commencement of the audit work and is currently being reviewed to establish whether the processes can be streamlined to reduce the workload for the finance team.

Once again, our work has confirmed that the Authority staff dealing with finance, admin and HR have done an exceptional job in very difficult circumstances to ensure that the financial processes remain up to date, robust and well documented. The individual assurance opinions issued in respect of our assignment work are detailed in appendix 1.

Internal Audit Plan 2023/24

As in previous years, the audit plan for the financial year 2023/24 allows for up to 20 days of internal audit support.

The plan includes a review of the following key financial systems: -

- Ordering and Payments
- Income and Cash Collection
- Bank Reconciliation / Investments/Cheque Control
- Main Accounting System
- Budget monitoring
- Payroll & Travel Expenditure
- AGS

Any major findings (if applicable) from the previous year's audit plan will be reviewed to ensure that agreed recommendations have been implemented and are effective. An annual report for your Audit and Governance Committee will be produced for inclusion.

As part of the audit plan, we will also provide assistance and advice and be a central contact point for the Head of Business Support. We would be happy to consider undertaking special project work as and when appropriate and required.



Timetable

The timing of the 2023/24 Key Financial Systems review has already been agreed with the Head of Business Support and will take place in the second half of this coming October.

All findings will be reviewed with the Head of Business Support at the end of the audit programme and prior to the issue of any draft report.

A copy of the final report will be presented to the Audit and Governance Committee and made available to your External Auditors for their information.

2023/24 Plan

The following table sets out the planned internal audit work for 2023/24. Other issues and systems are sometimes identified during the audits and if found will be discussed with the Head of Business Support. These issues may be incorporated into future audit plans dependent upon priority and risk assessment.

The cost of these 20 days will be £6,300 (plus VAT). Additional support will be provided as and when required. Our standard daily rate for this work will be £315, although specialist support may be at a different rate. Please contact us for further details.

Audit	Days
Material Systems	
Financial Systems	19
Other Work	
Planning / attendance at Audit & Governance	1
Committee	
Total days	20

Appendix 1 of this report details the assurance opinions for the areas covered under this review, for which definitions of the assurance opinion ratings are in Appendix 2.



Customer Value

Public Sector Internal Audit Standards (PSIAS)

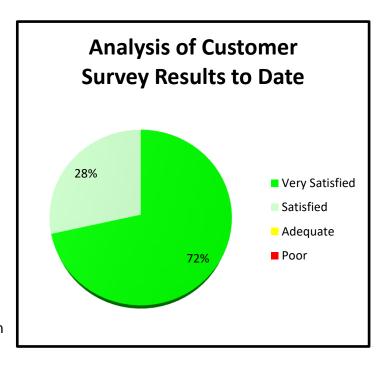
Conformance - Devon Audit Partnership conforms to the requirements of the PSIAS for its internal audit activity. The purpose, authority and responsibility of the internal audit activity is defined in our internal audit charter, consistent with the *Definition of Internal Auditing*, the *Code of Ethics* and the *Standards*.

Our internal audit charter was approved by senior management and the Audit Committee in February 2022. This is supported through DAP self-assessment of conformance with Public Sector Internal Audit Standards & Local Government Application note.

Quality Assessment - Through external assessment December 2021 'DAP is continuing to operate in conformance with the standards. External Assessment provides independent assurance against the Institute of Internal Auditors (IIA) Quality Assessment & Public Sector Internal Audit Standards (PSIAS).

The Head of Devon Audit Partnership also maintains a quality assessment process which includes review by audit managers of all audit work. The quality assessment process and improvement are supported by a development programme.

Improvement Programme - DAP maintains a rolling development plan of improvements to the service and customers. All recommendations of the external assessment of PSIAS and quality assurance were included in this development plan and have been completed. This will be further embedded with revision of our internal quality process through peer review.



Customer Service Excellence

DAP maintains accreditation by G4S Assessment Services of the CSE standard during the year. We have had some very complimentary feedback of where our team have been able to add value to the Council these may be found upon our <u>webpage</u>. The chart on the right of this page summarises the customer satisfaction results received to date during 2022/23.

Inherent Limitations

The opinions 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.



Appendix 1 - Summary of areas reviewed during 2022/23

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



Appendix 2 - Definitions

Definitions of Audit Assurance	Opinion Levels
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Assurance	Definition		
Substantial Assurance	A sound system of governance, risk management and control exist across the organisation, with internal controls operating effectively and being consistently applied to support the achievement of strategic and operational objectives.	High	A significant fi compromised; exposure to ris external respo
Reasonable Assurance	There are generally sound systems of governance, risk management and control exist across the organisation, with internal controls operating effectively and being consistently applied to support the achievement of strategic and operational objectives.	Medium	Control arrang moderate exp of service, und provision. Imp internal contro
Limited Assurance	Significant gaps, weaknesses or non-compliance were identified across the organisation. Improvement is required to the system of governance, risk management and control to effectively manage risks and ensure that strategic and operational objectives can be achieved.	Low	Low risk issue inefficiencies varrangements considered ne These issues during the cou
No Assurance	Immediate action is required to address fundamental control gaps, weaknesses or issues of non-compliance identified across the organisation. The system of governance, risk management and control are inadequate to effectively manage risk to the achievement of strategic and operational objectives.	Opportunity	A recommend may enable ef created, suppo- generation or recommendat

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Definition of Recommendation Priority

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.

Direction of Travel Indicators

Indicator	Definitions
indicator	Definitions
R	No Progress has been made. The action plan is not being progressed at this time; actions
4	remain outstanding. Progress has been made but further work is required. The action plan is being progressed though some actions are outside of agreed timescales or have stalled.
G	Good Progress has/is being made. Good Progress has continued.



Appendix 3 – Audit Authority

Service Provision

The Internal Audit (IA) Service for Devon County Council is delivered by the Devon Audit Partnership (DAP). This is a shared service arrangement constituted under section 20 of the Local Government Act 2000. The Partnership undertakes an objective programme of audits to ensure that there are sound and adequate internal controls in place across the whole of the Council. It also ensures that the Council's assets and interests are accounted for and safeguarded from error, fraud, waste, poor value for money or other losses.



Strategy

Internal Audit Strategy sets out how the service will be provided, and the Internal Audit Charter describes the purpose, authority and principal responsibilities of the audit function.

Regulatory Role

There are two principal pieces of legislation that impact upon internal audit in local authorities:

Section 5 of the Accounts and Audit
Regulations (England) Regulations 2015
which states that 'a relevant authority must
undertake an effective internal audit to
evaluate the effectiveness of its risk
management, control and governance
processes, taking into account public sector
internal auditing standards or guidance....."
Section 151 of the Local Government
Act 1972, which requires every local
authority to make arrangements for the
proper administration of its financial affairs

Professional Standards

We work to professional guidelines which govern the scope, standards and conduct of Internal Audit as set down in the Public Sector Internal Audit Standards.

DAP, through external assessment, demonstrates that it meets the Public Sector Internal Audit Standards (PSIAS).

Our Internal Audit Manual provides the method of work and Internal Audit works to and with the policies, procedures, rules and regulations established by the Authority. These include standing orders, schemes of delegation, financial regulations, conditions of service, antifraud and corruption strategies, fraud prevention procedures and codes of conduct, amongst others.



Our Vision

To be a leading provider of internal audit, counter fraud, risk management and other assurance services to public and not-for-profit organisations in the South West and beyond.



Our Goals

Operational delivery

- CFT to co-ordinate / undertake irregularities work coming through the audit plan
- Potential irregularities are triaged to fraud or audit for review
- Proactive fraud work e.g. NFI, developing delivery plan at client level
- Investigation work to be completed jointly (where appropriate) to progress possible fraud review and strengthen internal control frameworks
- Audit scoping to include counter fraud input
- Three-way liaison confirming risk and control
- Integrated reporting to be delivered on a case basis

Meet Client Needs - Client Counter Fraud Strategy in place - Integrated Audit, Risk and Counter Fraud Service Plan - Easy access to additional services IA, Risk & CF Working Together - Joint working practices - staff understanding of audit and fraud interrelationships - Efficiency - annual Counter Fraud savings target achieved - joint reviews on client functions and operations - Integrated resource management and performance - Joint infrastructure - Our Focus

Client Services

Counter Fraud Strategy with each client

Regular client liaison Mtgs.

POC access to additional integrated services

CF Service plan with each client for both pro-active and re-active services

Joint Partner CF work e.g. SPD

Client training on Fraud Awareness

IA, Risk & CF Working Together

Joint Working Practices

Joint scoping of audit and Irregs

CF Risk Assessment Review - CIFAS

Joint IA, Risk & CF plan Pro-active **Prevention** work Pro-active **Detection** work Effective **Investigation**

NFI work co-ordinated by CFT

Efficiency

Savings Plan £55k by year three

Restructure of PCC Team work plan (releasing resources)

Joint working practices

Single Point of Contact for Fraud and Irregs

Infrasturcture

Budget - Costcentre focused

Laptops for CFT

ICT Platform & common network access

Data Sharing Agreements updated

Terms and Conditions review



Dartmoor National Park Authority Audit & Governance Committee

26 May 2023

2022/23 FINANCIAL OUTTURN

Report of the Head of Business Support

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

- (i) that the content of this report is noted;
- (ii) that the Authority transfers the 2022/23 unallocated revenue deficit of £4,281 from Reserves;
- (iii) that the Authority approves the transfer of grants and contributions received with specific conditions or restrictions and monies set aside for contractual commitments into earmarked reserves, as set out in section 4.4 (table 9) of the report;
- (iv) that it is unnecessary to include a note in the Statement of Accounts relating to the remote possibility of a contingent liability, as set out in section 5 of this report.

1 Introduction

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

2 The 2022/23 Financial Outturn

2.1 A summary of the financial outturn as at 31 March 2023 can be found at Appendix 1. After transfers, to and from, reserves for matters approved in-year and at the setting of the budget, the outturn deficit is £4,281 (£51,913 in 2021/22). A deficit of £112,741 was forecast at month 9, but we have since received unexpected additional FIPL (Farming in Protected Landscapes) money.

2.2 The Authority has once again proved successful in generating additional external grant income of £291,241 against budget, a full list of external grant funding received is set out below.

Table 1: External Grant Income Analysis	£
Farming in Protected Landscapes - Defra	815,081
Green Challenge Recovery Fund - Defra	306,696
Peatlands Restoration Project - South West Water	203,861
Peatlands Restoration Project - Defence Infrastructure	10,000
Dartmoor Headwaters Project - Environment Agency	96,522
Dartmoor Headwaters Project - Devon County Council	36,316
Access for All - Defra	63,280
Public Rights of Way - Devon County Council	43,000
Hill Farm Project - Duchy of Cornwall	15,000
Hill Farm Project - Prince's Countryside Fund	30,000
Our Common Cause - National Trust	24,966
Wool Project - South West Water	18,461
Dartmoor Marshals - Dartmoor Common Land Owners Association	500
Dartmoor Marshals - Duchy of Cornwall	1,000
Dartmoor Marshals - Forestry England	5,000
Dartmoor Marshals - National Trust	3,000
Dartmoor Marshals - Okehampton Hamlets Parish Council	1,875
Dartmoor Marshals - Other	1,000
Dartmoor Marshals - Police and Crime Commissioner Devon and Cornwall	5,000
Dartmoor Marshals - Woodland Trust	3,000
Bio-diversity Planning Support project - Defra	26,807
Test and Trials - Defra	25,150
Invasive Species - South West Water	8,540
Generation Green Project - South Downs National Park	5,113
Bike Counters Redlake Tramway - Other	2,090
Contribution to Audit Fees - DLUHC	5,738
Shallowford Trust	5,000
Dartmoor Monuments - English Heritage Trust	750
Other	1,358
Total Grant Income	1,764,104

In 2021/22 external grant income was £1,036,456

Table 2: Fees & Charges,	Sales and Other Income	£
Land Management	Filming on DNPA land and officer support	(4,250)
	Other Income: wayleaves etc.	(3,580)
Hill Farm Project	Course Fees	(4,709)
	Donations - support the Young Commoners	(49)
	Membership	(1,633)
	Recharge of Officer time	(26,750)
Archaeology	SHINE	(2,625)
Archaeology	Walks/Talks	, , ,
Linnaatt	Guided walks & donations	(200)
Uppacott		· · · /
	Utilities recharge	(965)
\(\frac{1}{2}\)	Rental income	(3,700)
Visitor Management	Vending Licences	(31,575)
	Car park charges	(63,051)
	Podpoint - electric vehicle income	(695)
	Donations	(914)
	Other Income : Love Moor Life	(1,480)
Public Rights of Way	Capital improvements schemes for signage, bridge	(53,683)
	purchase and installation and surface improvements	
	on rights of way	
Visitor Centres	Sales	(176,392)
	Donations and gallery sales	(235)
Communications	Moor Otters	(525)
	Enjoy Dartmoor advertising	(16,714)
	Signboards advertising	(3,440)
Education	Ranger Ralph	(782)
	Donations	(77)
	Educational Walks	(3,975)
	Events Income	(848)
Rangers	Sale of equip	(12)
	Recharges for private mileage	(542)
Conservation Works	Sale of equipment	(229)
Development Management	Search Fees	(534)
Development wanagement	Enforcement Appeals	(924)
	Planning Fees	(154,495)
	Non Material Amendments	(1,616)
		(7,404)
	Discharge of Conditions	· · · /
Famuard Diamina	Pre app Charges	(3,875)
Forward Planning	S106 agreement - Beacon Park	(102,200)
0	Other Income: Design guide	(10)
Corporate and Democratic	Donate for Dartmoor	(17,876)
Core	Investment Income	(24,157)
Information Technology	Recharges for external work	(3,838)
	Apprenticeship Incentives	(3,000)
	Sale of equipment	(84)
Central Running Costs	Recover of Charges	(407)
Human Resources	Recharge of Officer time	(489)
	Cycle Scheme	(3,715)
Premises	Room booking, recharges & rent	(2,965)
	Renewable Heating Incentive	(18,851)
Other		(227)
Total Other Income		(751,890)

- 2.3 Staff vacancy / turnover (in-year) has resulted in a budget saving of £46,306. A business review was completed during the year assessing staffing structure requirements. Leadership Team carefully assess the business case for recruiting to all vacancies and the Project Fund (and/or other funds) is used to resource short-term support.
- 2.4 The Authority's expenditure budgets are robustly monitored throughout the year; efficiency savings are continually sought; the budget and our spending plans can change during the year as we aim to be flexible and agile. However, there have still been supply chain issues which have had an impact on our stakeholders, partners and contractors, which had a knock-on effect for the everyone's ability to "get work done."
- 2.5 The main variations are set out against each service in Appendix 1 and variance analysis report can be found at appendix 2; a summary of the most significant variances is set out in table 3 below.

Table 3: Significant variations - running costs and project spend	Savings /Under spend	Over spend
	£	£
Travel & Transport: Ranger vehicle maintenance and specific project vehicle lease hire.		25,228
Premises: repairs and maintenance at Princetown not completed due to unforeseen issues with the fabrication of the property. Completion expected in 23/4	44,366	
Training: since the relaxation of pandemic restriction, more courses are now face-to-face		10,324
Biodiversity: Woodland Project deferred to 23/4 due to resource capabilities	22,980	
Land Management: some works not undertaken due to contractor availability and supply issues.	11,191	
Archaeology: some (partnership) projects did not happen, these were either delayed due to contractor resources or project strategic directional changes.	35,315	
Visitor Facilities: legal costs relating to backpack camping.		82,180
Public Rights of Way: improvements to rights of way, including enabling access for all		91,890
Visitor Centres - accountancy adjustment required to record our total stock held.		13,736

Communications: interpretation savings due to contributions from other partners	11,127	
Rangers: Dartmoor Marshals funded by , Dartmoor National Park Authority project fund and partnership contributions.		22,999
Development Management: implementation of the new planning system, which is has been capitalised. This has been offset by increased legal charges for works on appeals and court cases.	19,400	
Information Technology - savings relating to software licenses and the capitalisation of the new server	20,488	
Corporate Operating Costs: membership and subscription savings to NP UK		10,499

Note: Requests for budget carry forwards can be found in table 9

- 2.6 The Authority still has £350,000 in its bank account relating to a Section 106 agreement for the Chagford Masterplan developments. This money is ring-fenced and held outside of our revenue accounts.
- 2.7 A Project Fund (unallocated) budget of £75,000 was approved by the Authority at the start of the year. In-year allocations from the Fund are set out in table 4 below. The balance remaining at 31 March has been incorporated into the revenue surplus and will be transferred into reserves.

Table 4: Project Fund	£
	(75,000)
Study Tour to Yorkshire and the Lakes (cluster farmers + DPA)	5,000
Big Path Survey extra ARCSpeed licences	2,000
ArcSpeed Improvements (Erosion App)	1,525
Π security audit	2,700
Meeting tech for rooms 17 & 11 - video conferencing	3,000
Conservation Plan - Dynamic Dartmoor	3,000
Adventure Activity License - schools license	715
Impact Assessment - Byelaw review	1,650
Wood Strategy - Devon contribution	5,000
Double Yellow Lines at Two Bridges	4,330
Dartmoor Marshalls	15,000
Environmental Land Management Test and Trial proposal	1,250
Meeting Room Audio Upgrade	1,161
ArcSpeed Improvements (Fingerposts App)	3,966
Balance	(24,703)

2.8 In 2016 we launched the Donate for Dartmoor campaign. Table 5 below shows donations received for the last three years and how those donations have been spent or are allocated in future years.

Balance as at 31st March 22	(4,564)
2020/21 Donations received	(5,006)
2021/22 Donations received	(27,513)
Dartmoor Invasive project 2022/23	10,500
2022/23 Donations received	(17,821)
Remaining Balance	(44,404)

3 Capital Programme and Prudential Indicators

3.1 The Authority's spend in 2022/23 and budget for 2023/24 is as follows:

Table 6: Capital Program / Spend / Budget	2022/23	2023/24
	Outturn	Budget
	£	£
Replacement Vehicles for CWT and Rangers	0	84,689
Total	0	84,689
Funded From	£	£
National Park Grant or Revenue Reserves	0	84,689
Capital Receipts		
Total	0	84,689

- 3.2 The procurement of a replacement vehicle for the Conservation Works Team has been agreed to be deferred until 2023/24 by the Leadership Team. A review of the Authority's fleet is continually reviewed, with an emphasis on reducing our Co2 emissions, but still ensuring our vehicles are fit for the Authority's requirements. There have been capital acquisitions in year equipment for the Authority and the implementation of the new Planning System. These have been funded from either the National Park Grant (NPG) and the Green Recovery Challenge Fund.
- 3.3 As the Authority has no external borrowing, the other prudential indicators do not apply.

4 Reserve Balances

- 4.1 The level of reserve balances held is determined by our on-going work programmes and projects and by using a risk based analysis and methodology as set out at Appendix 3. 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. This often results in carry forwards from year to year(s).
- 4.2 The net transfer from Reserves as at 31 March 2022 is £607,613 i.e., our reserves balances have increased by this much. A summary of the total opening and closing Reserve Balances is set out in table 7 below, with a more detailed analysis set out in Appendix 4 and in tables 8 and 9.

2021/22	Table 7: Earmarked Reserve Balances	2022/23
£		£
(2,749,271)	1 April Opening Balance	(3,037,742)
85,719	Reserves used in year (table 8)	252,227
	Transferers to emarked reserves at year-end	
(374,190)	for specific purposes(table 9)	(805,535)
0	Transfer to Capital Receipts Reserve	0
(2,537,742)	Total Earmarked Reserves at 31 March	(3,091,050)

(500,000) General Unallocated reserve	(500,000)
(3,037,742) Total reserves balances 31 March	(3,591,050)

- 4.3 The General (unallocated) Reserve will be maintained at £500,000 as previously approved by the Authority in March 2019 (NPA/19/006) as set out above.
- 4.4 Full details of the transfers from and to Earmarked Reserves are set out in in the tables below:

Table 8: Earmarked Reserve balances brought forward (used)	£
during the 2022/23 financial year	
Farming in Protected Landscapes - year-end balance	11,084
Green Recovery Challenge Fund - year end balance to use in 22/23	87,599
Green recovery Challenge Fund match funding	22,000
Cave Shrimp S106	1,000
Natural England - Ground Truthing	5,500
Planning system implementation costs	27,550
Electric Vehicle chargers x 2 installation at Parke	4,177
Public Rights of Way Timber supply for signage	5597
Holne Leat maintenance	2,000
Signage - for visitor and access facilities	2,555
Premises works	3,697
Habitat survey & conditon assessment Haytor	1,000
Public information board about invasive project cfwd	355
Partnership contributions	7,000
Traffic Regulation & Road safety video	3,100
Okehampton Station Visitor Centre - Display	5,677
New IT server	25,055
Dartmoor Dynamic landscape	22,500
Dartmoor Invasive project 2022/23 - funded from Donate for Dartmoor	10,500
2022/23 revenue deficit	4,281
Total	252,227

Table 9: Amounts to be carried forward to Earmarked	£
Reserves at 31 March 2023	
Income:	
Farming in Protected Landscapes - year-end balance	163,016
Beacon Park affordable housing	102,200
Hill Farm project - year-end balance	25,855
Donate for Dartmoor	17,821
Internal Income	440,000
Contract Commitments:	
Princetown Ballroom repairs	33,382
Touchscreen Installation - visitor centre	1,050
METRIC:Tariff Soft - Car Park machine	657
METRIC:Remote Tariff Car Park Machine	63
2024 Calendar development to sell in visitor centres	1,048
Housing SPD	4,400
Woodland management	16,043
Total	805,535

5 Contingent Liability – Historical Management Agreement Payments

- 5.1 Members will recall that in previous years (from 2006 to 2012) we had included a contingent liability disclosure note in the Statement of Accounts relating to the possible repayment of historical management agreement payments; totalling £1.2m, which had been made by the Authority between the 1980s and 2007. These payments were subsequently identified as falling within the EU definition of state aid for farming support. This resulted in the inclusion of an Emphasis of Matter being reported by the auditors in their audit opinion every year since 2006.
- 5.2 In 2012/13, Grant Thornton (GT), who took over the external audit function from the Audit Commission, referred this matter to their technical team and invited the Authority to consider this matter each year to ascertain whether:
 - A contingent liability should be disclosed as the disclosure should not be made if the possibility of transfer in settlement is remote
 - Whether there is a need for the inclusion of the emphasis of matter as a disclosure would not be required if the likelihood of repayment remains remote
- 5.3 Members concurred with the GT Auditors and considered their approach to be sensible, pragmatic and very welcome. Members concluded that the note should be removed from the 2013/14 accounts.
- 5.4 This matter has been reconsidered each year by Leadership Team and the Authority. Brexit means that we are moving to a new system of subsidy control to replace EU State Aid (currently being designed by Defra). Leadership Team believe that this does not materially affect the potential contingent liability and that a note in respect of this issue should not be included in the 2022/23 accounts.
- 5.5 Members are invited to give this issue due consideration and make recommendation as to whether a contingent liability note is required. I would also like you to note this will be the last time I will be requesting your consideration, as this tenth year and highly unlikely to come to fruition.

6 Sustainability and Equality Impact

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

7 Conclusions

- 7.1 The revenue outturn deficit (after carry forwards are taken into account) of £4,281 represents 0.11% variance against the 2022/23 budget (this compares to £51,913 and a minus 1.27% variance in 2021/22). Prudent financial management and the one-off increased income received from Defra, has allowed the Authority to carry forward our internally generated income into reserves. These reserves will allow the Authority to help fund the Medium Term Financial Plan budget gap and has afforded us the ability to keep the Princetown Visitor Centre open. The efficiencies made during the year, particularly the staffing savings, have meant there will be no requirement for the Authority to use reserves to cover the costs for the recent backpack camping High Court case.
- 7.2 The efficiency savings achieved during 2022/23 will help us to continue to maintain the Match Funding and Invest to Save Reserves. This is important as many of our practical work programmes are dependent on external funding secured through competitive bids, which require match funding (and staff time to develop). For example, the successful bid achieved by the authority in securing National Lottery Heritage Fund for Dartmoor's Dynamic Landscape development bid.
- 7.3 Considering the Authority's record of achievement and performance reported in 2022/23, there have been some slippage in programmed work. This has predominately been due to the continued impact of the supply chains, available contractors and resourcing issues to carry out specific work programmes.
- 7.4 The Authority continues to maintain a robust financial position; and is demonstrating a Proactive approach to building stronger partnerships, generating new income streams and financial resilience and agility. We are well placed to continue to deliver good outcomes for Dartmoor and to support and deliver against the 25 Year Environment Plan.

ANGELA STIRLAND

Background Papers

NPA/AG/23/001: Financial Management 1 April to 30 December 2022 and forecast of Financial

Outturn 2022/23

NPA/AG/22/007: Financial Management 1 April to 30 September 2022 and Forecast of Financial Outline 2022/23

Outturn 2022/23

NPA/22/012: 2022/23 Net Revenue Budget, Medium Term Financial Plan & Capital Budget

NPA/22/013: Treasury Management Investment Strategy 2022/23

NPA/AG/22/003: Financial Outturn 2021/22

Attachments: Appendix 1 2022/23 Financial Outturn Summary

Appendix 2 Variance Analysis

Appendix 3 Risk Based Analysis of Reserve Balances

Appendix 4 Reserve Balances

2023 05 26 AS 2022-23 Outturn

Function Strategy	2022/23	2022/23	2022/23	2022/23	2022/23	2022/23	Explanation
	Original	Variation	Revised	Outturn	Year end Deficit/(Surplus)	Variance % against Budget	
	budget	In-year	Budget				
DIO DIVERNITY	£	£	£	£ 133,131	£ (27.078)	£ -16.90%	Managing and analysis to the format to 00/4
BIO-DIVERSITY LAND MANAGEMENT	148,354 69,251	11,855 2,000	160,209 71,251	35,751	(27,078)		Managing our woodland project deferred to 23/4 Contribution for pofessional advice for Shallowford trust GRCF application and income from filming
EAND MANAGEMENT	05,251	2,000	7 1,201	33,731	(33,300)	-49.02 /0	fees. Staff efficency savings. Managing own land less than budgeted.
FARMING IN PROTECTED LANDSCAPES	0	0	0	(151,983)	(151,983)	N/A	Defra income more than grant agreement to be used in 23/4 ring fenced in reserves
GREEN RECOVERY CHALLENGE FUND	22,000			92,862	70,862	N/A	Grant received in 21/2 and ring feanced in reserves to use in 22/3
WOODLANDS	45,243	5,000	50,243	78,283	28,040	55.81%	Pay award rate above budgeted amount and staff redundancy costs
HEADWATERS PROJECT	0				(2,256)	N/A	
PARTNERSHIP (ELECTRIC VEHICLE MONEY)	0				0		
PEATLANDS PROJECT	0				(54,261)	N/A	Income received for overhead costs
FACILITATION FUND	0			1,238 (5,928)	1,238 (12,178)	0.00% N/A	0 1/ 005 0 1 10 111 10
HILL FARM PROJECT				126,837	(12,178)	-59.08%	Grant from PCF, Duchy and Our Uplands Commons
NATURAL ENVIRONMENT	284,848				(100,110)		Decident and advantage Management Management about and Mallibration DAI account of
ARCHAEOLOGY	121,488	"	121,488	107,831	(13,657)	-11.24%	Projects not undertaken. Monument Management scheme and Walkhamptoon PAL survey not undertaken due to external funder resource issues
BUILT ENVIRONMENT	43,843	0	43,843	49,945	6,102	13.92%	Pay award rate above budgeted amount
UPPACOTT	19,465	625		7,664	(12,426)		Rental income and shared costs for utilities. Business rates less than budgeted due to occupancy
	.,		.,	,	() 3		and manitenance less than budgeted
CULTURAL HERITAGE	184,796	625	185,421	165,440	(19,981)	-10.78%	
VISITOR FACILITIES	49,672		64,383	164,948	100,565	156.20%	Legal fees for backpack camping court case, which will be covered from reserves
ACCESS & RECREATION	119,609	449	120,058	121,440	1,382	1.15%	Pay award rate above budgeted amount and offset by Access agreements still being negotiated.
PROW	110,076	9,563	119,638	99,644	(19,994)	-16.71%	Material cost for rights of way & modification orders recharge and Arcspeed app improvements
SUSTAINABLE TOURISM & TRANSPORT	10.000	0	10.000	12.604	(7.278)	26.640/	savings
	19,882	_	,	12,604	(1)=1+)	-36.61% 23.05%	Vacancy savings.
RECREATION MANAGEMENT VISITOR CENTRES	299,239	24,723	323,961	398,636	74,675		Day arroad vate above historical amount. Cost of steels held. Costso assessing and available historical
VISITOR CENTRES	185,594	1,472	187,066	203,854	16,788	8.97%	Pay award rate above budgeted amount. Cost of stock held. Centre promotions and projects budget not fully utilised.
COMMUNICATIONS	217,446	5,677	223,123	208,848	(14,275)	-6.40%	Vacancy savings and staff on long term sick. Money received for Okehamption intepretation boards
	2,	0,011	220,120	200,010	(11,210)	0.1075	Tabana) sarings and stan strong term sist. Inches 1000 to the tamping interpretation beautiful
NATURALLY HEALTHY DARTMOOR	1,000	0	1,000	0	(1,000)	-100.00%	
YOUTH ENGAGEMENT RANGER	0	0	0	1,051	1,051	0.00%	
EDUCATION	186,450				(56,627)		Vacancy savings.
PROMOTING UNDERSTANDING	590,490			544,291	(54,063)	-9.04%	
RANGERS	452,565	15,000	467,565	505,011	37,446		Pay award rate above budgeted amount. Service and maintenance of ageing Ranger Fleet.
CONSERVATION WORKS SERVICE	144,182		144,182	146,137	1,955		Pay award rate above budgeted amount. Costes for Electricity higher
RANGERS, ESTATES & VOLUNTEERS	596,747			651,148		6.44%	
DEVELOPMENT MANAGEMENT	413,822	27,550	441,372	429,587	(11,785)	-2.67%	Pay award rate above budgeted amount. Agency requirements to cover long term sickness.
							Planning income higher than budgeted. Savings from subscriptions no longer required and
DEVELOPMENT MANAGEMENT	413,822	27,550	441,372	429.587	(11,785)	-2.67%	consultancy and planning appraisal budgets not fully needed in year.
FORWARD PLANNING & COMMUNITY	180,432		187,432	-,			Pay award rate above budgeted amount, but some vacancy savings have offset the increase.
FORWARD FLANNING & COMMONTT	100,432	7,000	107,432	60,842	(126,590)	-07.5470	Contribution for affordable homes (Beacon Park).
FORWARD PLANNING	180,432	7,000	187,432	60,842	(126.590)	-67.54%	Contribution for anordable nomes (beacon) ark).
CORPORATE CENTRE	350,947		353,947		(51 671)	-14.60%	Treasury Interest & Donate for Dartmoor to be carried forward
CORPORATE & DEMOCRATIC CORE	350.947		353.947	302,276	(51.671)	-14.60%	Treasury interest a Bonate for Baranoor to be carried forward
INFORMATION TECHNOLOGY	209,290		211,990	195,452	(16,538)		SAN maintenance underspend, but used to contribute towards a new server. Pay award rate above
0	200,200	2,700	211,000	100,102	(10,000)	7.5675	budgeted amount. Savings gain for new software licenses
CORPORATE OPERATING COSTS	127,651	4,161	131,812	130,321	(1,491)	-1.13%	Insurance and Property Service costs (NPS) more than budgeted for, which has been offset by
	,	, -			() -)		delayed lead time for lease vehicles
ADMIN & FINANCE	186,898	0	186,898	194,548	7,650	4.09%	Pay award rate above budgeted amount
LEGAL	70,000	0	70,000	72,937	2,937		Costs for registering trademarks
HUMAN RESOURCES	169,435	0	169,435	181,538	12,103	7.14%	Pay award rate above budgeted amount. Corporate training (Safe & sound workshop) more than
OFFICE ACCOMMODATION (BARIES)	410.1		410.05	400.00		0.130	budgeted
OFFICE ACCOMMODATION (PARKE) OFFICE ACCOMMODATION (PRINCETOWN)	112,451	4,177	116,628	120,308	3,680		Utility bills higher than budgeted for.
OFFICE ACCOMMODATION (PRINCETOWN)	116,299	1,600	117,899	72,917	(44,982)	-38.15%	Ballroom repair delays, commitment will be carried forward. Electricity costs higher than expected
CORPORATE SERVICES	992.024	12.638	1.004.662	968.021	(36.641)	-3.65%	
Project Fund	75,000	,	24,703	0	(24,703)	-100.00%	
Revenue Contribution to Capital Expenditure	,	,==,===1,	2 .,. 30	65,479	65,479		
NET EXPENDITURE	3,968,345	73,208	4,041,552		(328,995)		
NET EN ENSHORE	0,000,040	70,200	4,041,002	5,7 12,557	(020,833)		
Funded By							
National Park Grant	(3,825,865)		(3,825,865)	(4,265,865)	(440,000)		
Reserve balances b/fwd & used during the year	(142,480)	(73,208)	(215,688)	(247,946)	(32.259)		
	(1.12, 100)	(. 5,250)	(2.0,000)	805,535	805,535		
Amounts to be carried forward to Earmarked	1	1	1	555,500	000,000		
Amounts to be carried forward to Earmarked Reserves Total Funding	(3,968,345)	(73,208)	(4,041,553)	(3,708,276)	333,276		
Reserves	(3,968,345)	(73,208)	(4,041,553)	(3,708,276)	333,276		

VARIANCE ANALYSIS	Salaries		Premises '	Transport	Supplies &	Expenditure	Grants	Sales	Income	Total Variance	Explanation
		Subsistence			Services	Overspend (Underspend)		Fees & Charges	Deficit (Surplus)	Deficit (Surplus)	
BIO-DIVERSITY	£ (40.044)	£ 37	£	£ 56	£ (00,000)	£ (00.400)	£	£	£	£ (07.070	Managing our woodland project deferred to 23/4
LAND MANAGEMENT	(10,241) (11,245)	(410)		56	(22,980) (11,191)	(33,128) (22,846)	6,050 (5,000)	(7,654)	6,050 (12,654)	(27,078)	Contribution for pofessional advice for Shallowford trust GRCF application and income from filming fees. Staff efficency savings. Managing own land less than
FARMING IN PROTECTED LANDSCAPES	4,487	102			9,137	13,726	(165,709)		(165,709)	(151,983)	budqeted. Defra income more than grant agreement to be used in 23/4 ring fenced in reserves
GREEN RECOVERY CHALLENGE FUND WOODLANDS	(18,898) 28,618	(9,101) (100)		6,965	(10,430) (257)	(31,464) 28,261	102,325	(221)	102,325 (221)	70,861 28,040	Grant received in 21/2 and ring feanced in reserves to use in 22/3 Pay award rate above budgeted amount and staff redundancy costs
HEADWATERS PROJECT PEATLANDS PROJECT	(85,212)	1,168 2,236		1,023	40,097	(42,924) 28,569	40,668		40,668 (82,830)	(2,256) (54,261)	Income vessived for every sed seate
FACILITATION FUND	9,226			16,054	1,053	0	(82,830) 1,238		1,238	1,238	Income received for overhead costs
HILL FARM PROJECT NATURAL ENVIRONMENT	9,927	899	0	896 24,994	36,291 41,720	48,013	(60,191)	(7.07E)	(60,191)	(12,178) (183,117)	grant from PCF, Duchy and Our Uplands Commons
NATURAL ENVIRONMENT	(73,338)	(5,169)	0	24,994	41,720	(11,793)	(163,449)	(7,875)	(171,324)	(163,117)	
ARCHAEOLOGY	7,004	(500)		231	(35,315)	(28,580)	16,748	(1,825)	14,923	(13,657)	Projects not undertaken. Monument Management scheme and Walkhamptoon PAL survey.
BUILT ENVIRONMENT UPPACOTT	5,983	83 155	(6,323)		36	6,102 (6,168)		(6,258)	(6,258)	6,102 (12,426)	Pay award rate above budgeted amount Rental income and shared costs for utilities. Business rates less than budgeted due to occupancy and manitenance less than budgeted
CULTURAL HERITAGE	12,987	(262)	(6,323)	231	(35,279)	(28,646)	16,748	(8,083)	8,665	(19,981)	due to occupancy and manitenance less than budgeted
VISITOR FACILITIES	(5,118)	(198)	2,004		82,180	78,868	(2,090)	23,787	21,697	100,565	Legal fees for backpack camping court case, which will be covered from reserves
ACCESS & RECREATION	5,083	251		674	(4,626)	1,382			0	1,382	Pay award rate above budgeted amount and offset by Access agreements still being negotiated.
PROW	4,933	145			91,890		(116,962)		(116,962)	(19,994)	Material cost for rights of way & modification orders recharge and Arcspeed app improvements less than budgeted
SUSTAINABLE TOURISM & TRANSPORT RECREATION MANAGEMENT	(4,032) 866	(250)	2.004	674	(2,996) 166,448	(7,278) 169.940	(119 052)	23,787	(95.265)	(7,278° 74,675	Vacancy savings and bus leaflets and handbook less than budgeted.
VISITOR CENTRES	3,436	154	339	6/4	13,736		(119,052)	(877)	(877)	16,788	Pay award rate above budgeted amount. Cost of stock held. Centre promotions
COMMUNICATIONS	(504)	(465)			(11,127)	(12,096)		(2,179)	(2,179)	(14,275)	and projects budget not fully utilised. Vacancy savings and staff on long term sick. Money received for Okehamption
NATURALLY HEALTHY DARTMOOR					(1,000)	(1,000)			0	(1,000)	intepretation boards
YOUTH ENGAGEMENT RANGER EDUCATION	4,518 (52,544)	370 96		1,170	1,276	6,164 (54,295)	(5,113)	(2,332)	(5,113) (2,332)	1,051 (56,627	Vacancy savings.
PROMOTING UNDERSTANDING	(45,094)	155	339	1,170	(132)	(43,562)	(5,113)	(5,388)	(10,501)	(54,063)	
RANGERS	20,650	580	322	13,824	22,999	58,375	(20,375)	(554)	(20,929)	37,446	Pay award rate above budgeted amount. Service and maintenance of the
CONSERVATION WORKS SERVICE	3,176	19	1,317	1,048	(3,376)	2,184		(229)	(229)	1,955	
RANGERS, ESTATES & VOLUNTEERS	23,826	599	1,639	14,872	19,623	60,559	(20,375)	(783)	(21,158)	39,401	
DEVELOPMENT MANAGEMENT	31,398	(389)		260	(19,400)	11,869		(23,654)	(23,654)	(11,785)	Pay award rate above budgeted amount. Agency requirements to cover long term sickness. Planning income higher than budgeted. Savings from subscriptions no longer required and consultancy and planning appraisal
DEVELOPMENT MANAGEMENT	31,398	(389)	0	260	(19,400)	11,869	0	(23,654)	(23,654)	(11,785	budgets not fully needed in year.
FORWARD PLANNING & COMMUNITY	(16,605)	(381)			(7,394)	(24,380)		(102,210)	(102,210)	(126,590)	Pay award rate above budgeted amount, but some vacancy savings have offset the increase. Contribution for affordable homes (Beacon Park).
FORWARD PLANNING CORPORATE CENTRE	(16,605)	(381)	0	0 587	(1,001)	(24,380)	0	(102,210)	(102,210)	(126,590)	To a sum between 4.0 Downto for Downton and to be a sum of for sum of
CORPORATE & DEMOCRATIC CORE	(447)	(550) (550)	0	587 587	(3,891) (3,891)	(4,301) (4,301)	0	(47,370) (47,370)	(47,370) (47,370)	(51,671) (51,671)	Treasury Interest & Donate for Dartmoor to be carried forward
INFORMATION TECHNOLOGY	7,946	(516)		104	(20,488)	(12,954)		(3,584)	(3,584)	(16,538)	SAN maintenance underspend, but used to contribute towards a new server. Pay award rate above budgeted amount. Savings gain for new software licenses
CORPORATE OPERATING COSTS				(11,583)	10,499	(1,084)		(407)	(407)	(1,491)	Insurance and Property Service costs (NPS) more than budgeted for, which has been offset by delayed lead time for lease vehicles
ADMIN & FINANCE	6,957	21			672				0	7,650	Pay award rate above budgeted amount
LEGAL HUMAN RESOURCES	5,039	463			2,942 10,805	2,942 16,307		(5) (4,204)	(5) (4,204)	2,937 12,103	Pay award rate above budgeted amount. Corporate training (Safe & sound
OFFICE ACCOMMODATION (PARKE) OFFICE ACCOMMODATION (PRINCETOWN)	159		3,882 (45,907)			4,041 (45,907)		(<mark>361)</mark> 925	(361) 925	3,680 (44,982	workshop) more than budgeted Utility bills higher than budgeted for. Ballroom repair delays, commitment will be carried forward. Electricity costs
	20.47	,		(4.4.4							higher than expected
CORPORATE SERVICES PROJECT FUND	20,101	(32)	(42,025)	(11,479)	4,430	(29,005) (24,703)	0	(7,636)	(7,636)	(36,641) (24,703)	†
RESERVE MOVEMENTS						0			0	333,277	Purchase of Equipment and Planning system
REVENUE EXPENDITURE	(46,306)	(6,081)	(44,366)	31,309	166,125	75,978	(291,241)	(179,212)	(470,453)	4,281	

2020/21 RESERVES: RISK BASED ANALYSIS	Risk	Rate	2022/23	2022/23
	Level		Opening Balance	Closing Balance
	Level			
			£'000	£'000
Grants & Contributions with Restrictions carried forward:				
Grants & Contributions with Restrictions	N/A	Actual	(501)	(595)
Employees:				
Maternity / Paternity Cover / Pay Awards	Low	Est.	(52)	(52)
Costs & Awards:				
Appeals / Public Enquiries / Litigation	High	Est.	(250)	(250)
Loss of Income and / or Price Increases:				
Reduced Sales, Fees & Charges or Inflation cost	Medium	Est	(35)	(35)
Capital - Property:				
Repairs & maintenance (sinking fund)	High	Est.	(200)	(200)
Capital - Vehicles Provision for future replacement of vehicles (sinking fund)	High	Est.	(127)	(127)
Provision for future replacement of vehicles (sinking fund)	riigii	LSt.	(121)	(121)
Capital Receipts Reserve	N/A	Actual	(21)	(21)
Climate Change	N/A	Actual	(50)	(50)
New IT server	N/A	Actual	0	25
Known Commitments/Contracts				
Local Plan Review	N/A	Actual	0	0
National Park Management Plan	N/A	Actual	(25)	(25)
Contracts - work in progress	N/A	Actual	(88)	(82)
Match Funding Reserve				
Cash Flow Management of Externally funded projects	N/A	Actual	(236)	(236)
South West Peatland Partnership	N/A	Actual	(125)	(125)
Green Recovery Challenge Fund - Cahnging Lives, Nuturing Nature	N/A	Actual	(22)	0
Postbridge Visitor Centre - Extension Building Project	N/A	Actual	0	(400)
Public Arts Project - Moor Otters II Unallocated fund balance	N/A N/A	Actual Actual	(120)	(120) (269)
Onaliocated fund parance	IN/A	Actual	(292)	(269)
Revenue	,		(6.11)	(2.1)
Invest to save and / or Generate Projects	N/A	Actual	(34)	(34)
Revenue Outturn Surplus - to be reallocated	N/A	Actual	(360)	(895)
General Reserve - Minimum amount to cover unanticipated costs / emergencies	N/A	Actual	(500)	(500)
Total Reserve Balance			(3,038)	(3,591)

GENERAL FUND RESERVE BALANCES	2021/22 Closing	2022/23 Transfers	2022/23 Transfers	2022/23 Transfers	2022/23 Forecast	2023/24 Forecast	2024/25 Forecast	2025/26 Forecast	2025/26 Forecast	Notes
SENERAL FORD RESERVE BALANGES	Balance	Out	within	In	Movements	Movements	Movements	Movements	Closing	Hotes
									Balance	
	£	£				£			£	
Ringfenced External Grants & Contributions with Restrictions										
Hill Farm Project (Princes Countryside Fund)	(55,970)			(25,855)	(81,825)				(81,825)	Cash balances are carried forward at each year end as allocated to expenditure
Farming in protected landscapes	(11,084)	11,084		(163,016)	(163,016)				(163,016)	
Communities Fund Grant (from District Councils)	(95,567)				(95,567)				(95,567)	Cash balances are carried forward at each year end as allocated to expenditure
Beacon Park affordable housing				(102,200)	(102,200)				(102,200)	to be used for affordable housing within the next 5 years
DCLG - Neighbourhood Planning Grant	(10,000)				(10,000)				(10,000)	Community planning referendums
DCLG - Unringfenced Grants	(84,940)				(84,940)				(84,940)	
Donate for Dartmoor Balances (public donations)	(37,086)	10,500		(17,821)	(44,407)				(44,407)	Cash balances are carried forward at each year end as allocated to expenditure
Peatland Partnership	(98,755)		98,755		0				0	Cash balances are carried forward at each year end as allocated to expenditure
Green Recovery Challenge Fund	(87,599)	87,599			0				0	
Cave Shrimp S106	(6,000)	1,000			(5,000)	1,500	1,500	2,000	0	
Moor Medieval book sales	(3,027)				(3,027)				(3,027)	
Natural England - Ground Truthing	(5,500)	5,500			0				0	
Defence infrastucture - River Tavey bridge feasibiltiy	(5,000)				(5,000)				(5,000)	
But Manager A But Street (State and)										
Budget Management Fund - Provisions (risk based)	(50,000)				(50,000)				(50.000)	0
Employees	(52,000)				(52,000)	00,000				See risk assessment for breakdown - 2022/23 pay award
Costs and Awards: Appeals/Public Enquiries/Litigation	(250,000)				(250,000)	60,000			, , ,	See risk assessment for breakdown
Loss of Income and Inflation	(34,500)				(34,500)				(34,500)	See risk assessment for breakdown - inflationary impact may mean that this is needed in 2022/23
Business Review transaction costs	(22.722)				(22.722)				(22.722)	
Invest to Save and / or Generate Projects	(33,733)				(33,733)				(33,733)	NDA (10/00)
Climate Change /Emergency Declaration	(50,000)	4.004	(00.755)	(440,000)	(50,000)	404.000	475.007	54.004	. , ,	NPA/19/020
Annual Revenue Outturn	(360,523)	4,281	(98,755)	(440,000)	(894,997)	101,282	175,007	51,234	(567,474)	Additional income receive in year
Capital Expenditure Fund										
Vehicles - Sinking Fund - Replacement	(127,321)				(127,321)	11,920	15,689	26,553	(73,159)	CWT vehicle in 2022/23 deferred until 2023/24
Property - Sinking Fund - Repairs & Maintenance	(200,000)				(200,000)	,525	10,000	20,000		Princetown lan Mercer room repairs 2022/23 and chimney repairs
Purchase of New Server	(===,===,	25,055			25,055				(===,===)	, , , , , , , , , , , , , , , , , , , ,
		,,,,,			2,222					
Known Commitments										
National Park Management Plan	(25,590)				(25,590)					C/Fwd to be used as required
Conservation Volunteers - DNPA Commitment	(5,000)				(5,000)					C/fwd from 2019/20 to be used as match funding
Carbon Toolkit	(20,000)				(20,000)				(20,000)	
Commitments to carry forward	(62,708)	62,708		(56,643)	(56,643)	56,643			0	
Capital Receipts Unapplied	(20,769)				(20,769)	20,769			0	CWT vehicle in 2022/23. deferred to 2023/24
Suprai Nossipis Silappiisa	(20,703)				(20,709)	20,709			, and the second	TOTAL TOTAL OF THE PARTY OF THE
Match Funding Reserve										
Cash Flow management of external funding bids	(236,500)				(236,500)				(236,500)	To cover cash flow delay when claiming in arrears
Public Arts Project 2020	(120,000)				(120,000)					NPA/19/015 - risk that costs will not be covered by income to be determined
South West Peatland Partnership	(125,000)				(125,000)					NPA/21/020
Dartmoor Foundation	ó				Ó	100,000	50,000	50,000		
Green Recovery Challenge Fund - Changing Lives, Nuturing Nature	(22,000)	22,000			0				0	NPA/21/016
Dynamic Landscape	Ó	22,500	(22,500)		0	100,000			100,000	
Unallocated fund balance	(291,570)		22,500		(269,070)			155,117	(113,953)	
Total Earmarked Reserves	(2,537,742)	252,227	0	(805,535)	(3,091,050)	452,114	242,196	284,904	(2,136,891)	
General Reserve (unallocated emergency reserve)	(500,000)				(500,000)				(500,000)	
T. (10	(0.00= = (0)	0.00		(007.707)	(0.504.050)		0.0.46	604.064	(0.000.00	
Total General Fund Balance	(3,037,742)	252,227	0	(805,535)	(3,591,050)	452,114	242,196	284,904	(2,636,891)	



Dartmoor National Park Authority Audit & Governance Committee 26 May 2023

THE LOCAL CODE OF CORPORATE GOVERNANCE AND 2022/23 ANNUAL GOVERNANCE STATEMENT

Report of the Head of Business Support

Recommendation: That Members:

- (i) Consider and approve the assessment of the Authority's governance arrangements as set out in the Local Code of Corporate Governance at Appendix 1; and
- (ii) Approve the 2022/23 Annual Governance Statement at Appendix 2

1 Background

- 1.1 "Governance" is about how public sector bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.
- 1.2 The Authority has based its corporate governance arrangements on the Framework "Delivering Good Governance in Local Government" produced by CIPFA (Chartered Institute of Public Finance and Accountancy) (The Chartered Institute of Public Finance and Accountancy) and SOLACE (the Society of Local Authority Chief Executives).
- 1.3 The Framework and the core principles and sub principles that underpin the Local Code of Corporate Governance are set out so that we can demonstrate:
 - that resources are directed in accordance with agreed policy and according to priorities;
 - that there is sound and inclusive decision making; and
 - that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.

2 Annual Review

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

- 2.2 The Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control and is also required to report publicly on an annual basis:
 - its compliance with its Local Code;
 - the effectiveness of its governance arrangements; and
 - any planned changes.

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

- 2.3 The main framework (systems and processes) that make up the Authority's governance arrangements include:
 - Standing Orders, Scheme of Delegation, Financial Regulations, Procurement Procedures, Anti-Fraud and Corruption Strategy, Confidential Reporting Policy (Whistleblowing) etc;
 - the Business Planning process;
 - Production of the annual Budget and Medium Term Financial Plan to reflect the priorities and actions in the Business Plan;
 - The regular monitoring and reporting in public of performance against objectives, targets, and performance indicators;
 - The monitoring and reporting of progress in relation to the Partnership Plan;
 - Performance appraisals of staff, including the setting of actions designed to deliver the objectives in the Business Plan;
 - The maintenance and monitoring of the Strategic Risk Register;
 - The maintenance of the Local Code of Corporate Governance;
 - The continual refreshment, through review, of the Authority's suite of policy and strategy documents;
 - Training delivered through the year to Members and to officers;
 - External and Internal Audit.
- 2.4 The Authority has not had to alter its governance arrangements or its systems of internal control during 2022/23. Our business continued as usual through adapted ways of working, with staff continuing a blended approach to either work at home, in the office or a mixture of both. Committee meetings, working panels and other meetings are on a face-to-face basis, but we continue to provide for external speakers to attend remotely. We have not had to alter our longer-term plan, priorities, strategies, or plans. Our current governance arrangements and systems of internal control have remained fit for purpose.
- 2.5 CIPFA's Financial Management Code, published in 2021/22 'the Code' has been designed to support good and sustainable financial management in local authorities. By complying with the principles and standards within the Code, authorities will be able to demonstrate their financial sustainability and provide assurance that they are managing resources effectively. The Code requires authorities to confirm that the processes they have in place satisfy the principles of good financial management. It identifies risks to financial sustainability and introduces a framework of assurance. Whilst compliance with the Code is not itself a statutory responsibility, CIPFA has made clear that these are minimum standards, and therefore

- 'compliance with them is obligatory if a local authority is to meet its statutory responsibility for sound financial administration.'
- 2.6 An assessment of the current level of compliance has been undertaken and the overall conclusion is that the Authority's governance and financial processes and controls meet the requirements of the Code. There are of course always areas where we could make improvements and these have been included in the action plan in the AGS.
- 2.7 The Authority's Local Code of Corporate Governance can be found at Appendix 1 and the draft Annual Governance Statement for 2022/23 can be found at Appendix 2. Members are invited to comment and / or propose amendments to either or both and to agree the Action Plan in the AGS.

3 Sources of Assurance

- 3.1 Authority Members need to look for assurance that proper governance arrangements are in place, and this report is part of that process. The Local Code refers to the various sources of assurance which are made available on our website and directly to Members via the intranet or committee reports.
- 3.2 Members may also wish to refer to the external auditor's audit findings report (as considered at the meeting of the Authority 2 September 2022) which led to an unqualified opinion on the truth and fairness of the Authority's financial statements and a positive audit opinion as a conclusion to their value-for-money review. The Value for money review is based on an assessment of whether the Authority has proper arrangements for securing financial resilience, and proper arrangements for challenging how economy, efficiency and effectiveness are secured.
- 3.3 Members may also refer to the reports presented to this committee by Internal Audit during the year and today. The Head of Internal Audit has concluded that the Authority continues to operate at a 'high standard' "A sound system of governance, risk management and control exists, with internal controls operating effectively and being consistently applied. We have made taken on board the audits recommendations aimed at further enhancing our internal controls and procedures."
- 3.4 The three statutory officers of the Authority (the Chief Executive, Chief Finance Officer and Monitoring Officer) have independent legal obligations which include reporting on any matters where the probity or legality of the Authority's actions or proposed actions is at stake. To date no such reports have been necessary. The Chair of Audit and Governance Committee has also been consulted during the annual review process.

4 Conclusion

- 4.1 The Authority has carried out a robust review of its Governance arrangements, and is satisfied that:
 - The system of internal control is sound and fit for purpose;

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

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Attachments: Appendix 1 - Local Code of Corporate Governance Appendix 2 - 2022/23 Annual Governance Statement

2023 05 26 AS Local Code of Corporate Governance and AGS



DARTMOOR NATIONAL PARK AUTHORITY LOCAL CODE OF CORPORATE GOVERNANCE

Adopted: December 2009

Reviewed: April 2014, March 2017, May 2018, May 2019, May 2020, May 2021, May

2022, May 2023

Introduction

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

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

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

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

The Core Principles are:

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

In addition to the *overarching requirements for acting in the public interest* in Core Principles A and B, achieving good governance also requires a commitment to Core Principles C to G. In order to translate these principles into practice, the Authority needs

to operate through a clear Corporate Governance policy supported by a Local Code of Corporate Governance.

The Authority's Values

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

1 Strong and Fair Leadership

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

2 Integrity

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

3 Involvement

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

4 Accountability

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

5 Improvement

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

6 Valuing People

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

7 Action Focused

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

Responsibilities

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

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

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

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

LOCAL CODE OF CORPORATE GOVERNANCE

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

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Striving to optimise the use of full powers available for the benefit of stakeholders

Dealing effectively with breaches of legal or regulatory provisions

Ensuring corruption and misuse of powers are dealt with effectively

expenditure

Appointment of Internal and External Auditors and reporting arrangements in place to Audit and Governance Committee

Annual Governance Review and Statement Registration of Related Party Transactions Declarations of lobbying and of interests at committee meetings

Transparency about business dealings between the Authority, Members and senior Staff Record of decisions and legal advice given Anti-Fraud and Corruption Policy Confidential Reporting (Whistleblowing) procedures

Principle B: Ensuring openness and comprehensive stakeholder engagement					
Supporting Principles:	Evidenced by:				
<u>Openness</u>					
Ensuring an open culture through demonstrating, documenting and communicating our commitment to openness.	Compliance with the Freedom of Information Act Access to Information arrangements Agreed actions to comply with the Openness of Local Government Regulations 2014 Agreed actions to implement the requirements of the Data Transparency Code and arrangements for the information to be available on the website Adoption of the ICO's standard Publication Scheme				
Making decisions that are open and transparent; presumption against confidentiality without justification	Publication of agendas, reports and minutes for the Authority and its Committees on the website Record of decisions made published on the website				
Providing clear reasoning and evidence relating to actions and decisions, and ensuring the impact and consequences are clear	Published calendar of meetings and internal corporate calendar to ensure timetable met Reports include legal, financial, and human resources (HR) equality implications where necessary. Record of discussion and decisions recorded in minute and published as website.				
Using formal and informal consultation and engagement to determine the most appropriate courses of action	minute and published on website Residents (and other) Surveys Consultations undertaken on range of service delivery matters and strategic plans Formal and informal consultation Partnership Plan Steering Group and Delivery Board Local Plan consultations Stakeholder consultations Attendance by Officers and Members at Parish Council meetings National Park Forum Parish Council workshops Local Access Forum				
Engaging comprehensively with institutional stakeholders					
Ensuring that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.	Communications Strategy				
Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	Corporate Contacts database to enable engagement with stakeholders for correct purposes				
Ensuring that partnerships are based on trust, a shared commitment to change, and a culture that promotes and accepts challenge	Partnership arrangements backed up with robust formal legal agreements, setting out roles, responsibilities and behaviours				

among partners; the added value of partnership is explicit	
Effective engagement with individual citizens and service users	
Establishing a clear policy on consultation with stakeholders to ensure service provision contributes to intended outcomes	Communications Strategy. Use of social media channels Statement of Community Involvement Public consultations undertaken as required, well
Ensuring communication methods are effective in relation to community engagement	publicised and results and feedback reported to the Authority
Encouraging, collecting and evaluating the views of stakeholders including reference to future needs	Formal and informal consultation: Partnership Plan Local Plan Stakeholders
Implementing effective feedback mechanisms and ensuring inclusivity of all feedback	Attendance by Officers and Members at Parish Council meetings National Park Forum Form Portmoor (formerly Hill Form Project)
Balancing feedback from more active stakeholder groups with other groups to ensure inclusivity.	Farm Dartmoor (formerly Hill Farm Project) Steering Group and workshop sessions. Parish Council workshops Local Access Forum
Taking account of impact of decisions on future generations of taxpayers/service users	

<u>Principle C:</u> Defining outcomes in terms of sustainable economic, social and environmental benefits						
Supporting principles:	Evidenced by:					
Defining Outcomes	The Authority's role defined by the two statutory					
	purposes and the duty; and the Mission Statement &					
Having a clear vision as an agreed formal	Vision in the National Park Management Plan and					
statement of the Authority's purpose and	Business Plan.					
intended outcomes	Service Plans and individual work programmes The Partnership Plan: developed together with					
Specifying the intended impact on	partners, stakeholders and community involvement -					
stakeholders	sets 20 year vision and 5 year objectives.					
	The Business Plan is developed from the Partnership					
Delivering defined outcomes on a	Plan to implement the objectives					
sustainable basis within resources	Financial planning - annual budget and Medium Term Financial Plan					
Identifying and managing risks to the	Declaration of Climate and Ecological Emergency and					
achievement of outcomes	subsequent adoption of detailed action to support ambition of becoming carbon neutral by 2025					
Managing service users expectations with	Risk management policy & Strategic Risk Register					
regard to determining priorities	Performance Management Framework and reporting					
	quarterly to Leadership Team and Audit & Governance					
	Committee					
Sustainable economic, social and						
environmental benefits	Equality, sustainability and environmental impact					
	assessment undertaken for projects, work					
Consider and balance the combined economic social and environmental	programmes and service delivery when relevant					
impact of policies, plans and decisions	Climate Action Plan 2020-2025					
Taking a long term view with regard to	Member Working Panels provide opportunities for					
decision making, taking account of risk	Officer / Member discussion, evaluation and					
and acting transparently in the face of	assessment in advance of and to aid decision making					
conflicting interests	process					
Determining the wider public interest	Records of decisions published on website in					
when balancing conflicting interests, through consultation where possible	committee minutes					
	Public consultations undertaken when required with					
	groups as set out previously					

	ntions necessary to optimise the achievement of		
the intended outcomes Supporting principles:	Evidenced by:		
Determining Interventions			
Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating associated risks, thereby ensuring best value is achieved Considering feedback from citizens and service users when making service improvements in order to prioritise competing resource demands	Member Working Panels provide opportunities for Officer / Member discussion, evaluation and assessment in advance of and to aid decision making process Committee reports contain rationale and relevant considerations / options appraisals / Financial implications on which decisions are based. Equality, sustainability and environmental impact assessments considered when relevant		
Planning Interventions			
Establishing and maintaining robust planning and control cycles for plans, priorities and targets	Reporting cycles for Business Plan targets, priorities, financial budget, corporate governance and risk management in place		
Engaging with stakeholders in relation to planning and delivery; considering and monitoring risks facing each partner when working collaboratively, including shared risks	Communications Strategy Risk management policy and Strategic Risk Register focuses on key risks; monitored and reviewed quarterly and plans adapted accordingly		
Ensuring arrangements are flexible and adaptable to changing circumstances	National Park family and local performance indicators to reflect Business Plan outcomes. Service delivery Dashboards in place for all service areas. Reviewed and reported quarterly		
Establishing key performance indicators; and ensuring capacity exists to generate information needed to review service quality regularly	Annual budget and Medium Term Financial Plan process that is aligned with Business Plan, Partnership Plan and Government policies e.g. 25 Year Environment Plan		
Prepare budgets in accordance with objectives, strategies and the medium term financial plan	Work programmes produced to reflect Business Plan priorities		
Inform medium and long term resource planning through a sustainable funding strategy	Reserves reviewed and maintained on a risk based approach		

Optimising achievement of intended outcomes

Ensuring the budget process is allinclusive of full cost of operations over medium and longer term Annual budget and Medium Term Financial Plan process that is aligned with Business Plan, Partnership Plan and Eight Point Plan and 25 Year Environment Strategy and relevant recommendations of the Glover Review

Ensuring medium term financial strategy is responsive to external circumstances to optimise resource usage/integrates and balances resource constraints

Regular budget monitoring reports to Leadership Team and Audit & Governance Committee allows realignment if required.

Principle E: Developing the entity's capacity, including the capability of its						
leadership and the individuals within						
Supporting principles:	Evidenced by:					
Developing capacity Reviewing operations and resources to ensure continued effectiveness Improving allocation of resources so that defined outcomes are achieved effectively and efficiently Recognising the benefits of partnership working where added value can be achieved Developing and maintaining an effective workforce plan to enhance allocation of resources	Workforce planning overseen and reviewed by Leadership Team ICT Strategy Internal and external audit of processes Partnership Plan review cycle Business Plan review cycle Local plan review cycle Budgetary control reported to Leadership Team and Audit & Governance committee Continuous review of Partnerships and delivery of outcomes Performance Indicators and benchmarking undertaken with other National Parks					
Developing capability of leadership						
Developing protocols to ensure that shared understanding of roles and responsibilities is maintained Ensuring Chair and CEO have clearly defined roles Publishing a statement that specifies the types of decisions	Codes of conduct Officer Job descriptions, person specification and competency framework Organisational Development Strategy Role/Protocols of Statutory Officers Members Role Description Scheme of Delegation, Standing Orders and Financial Regulations regularly reviewed Decisions published through Open Data requirements					
Developing capabilities of Members and Senior Management by giving access to induction and ongoing training; Members and Officers have appropriate skills and support to fulfil roles and this is kept updated; development through shared learning and learning from identified weaknesses	Member job descriptions Staff and Member induction programme Training and Development programmes for Members and Officers Staff Development & Training Days Bi-annual All Staff Meetings					
Ensure structures in place to encourage public participation in development	Focus groups Residents Survey Forums and groups as described previously Management Plan and Local Plan reviews					
Taking steps to ensure leadership's effectiveness through peer reviews and appraisals Holding staff to account through performance reviews Ensuring arrangements in place to maintain physical and mental wellbeing of Officers	Member and Officer Appraisals; including CEO Member Role Description Member and Officer personal development plans and Officer competency framework HR Policies and procedures Access to Occupational Health scheme Employees Assistance Programme in place DNPA is a registered "Mindful Employer", running regular training events to promote mental wellbeing					

Principle F: Managing risks and performance through robust internal control and						
strong public financial management The local code requires us to:	Evidenced by:					
Managing risk Ensuring risk management is an integral part of all decision making Implementing robust and integrated risk management Ensuring individual responsibilities for managing risk are clearly allocated	Risk Management Policy in place and Strategic Risk Register approved annually and reviewed by Leadership Team and Audit & Governance Committee on continual basis Operational risk is built into service plans and work programmes and monitored by Heads of Service Scheduled risk and review meetings with insurers Risk based approach to financial management and maintenance of Reserves and working balances Internal and External Audit report to Members on a risk based approach					
Managing performance						
Monitoring service delivery effectively Making decisions based on clear and relevant objective analysis including risks Providing Members and LEADERSHIP TEAM with regular reports on service delivery Encouraging effective and constructive challenge and debate on policies and objectives Ensuring consistency between specification stages and post implementation reporting	Robust performance management framework in place: Business Plan monitoring, Performance Indicators, Service delivery Dashboards, Risk Register and Financial Management; reviewed by Leadership Team and Audit & Governance Committee on quarterly basis Working Panels review and debate new policies and projects in advance of formal approval being sought Performance Improvement reviews are carried out by small member/officer teams including Members via Audit & Governance Committee Terms of Reference for Audit & Governance Committee and appropriate training provided Financial Regulations and financial management					
Robust internal control						
Aligning risk management strategy and policies Evaluation and monitoring risk management Ensuring counter-fraud and anti-corruption measures in place Ensuring additional assurance through	Risk management policy and strategic risk register in place and reviewed and monitored on quarterly basis Anti- fraud and corruption policy in place; regularly reviewed Internal Audit provided by Devon Audit Partnership					
effective internal audit Ensuring audit committee independent of the executive	Audit & Governance Committee in place as previously described					
Managing data Ensuring effective arrangements for safe collection and use of data including sharing of personal data Effective arrangements for sharing data with other bodies Regularly reviewing and auditing quality and accuracy of data used in decision making and performance monitoring	Data Protection Policy and Procedures Compliance with Data Protection Regulations (GDPR) Nominated Data Protection Officer Data Sharing arrangements made and signed off as required with third parties Access to information Policy includes storage and retention guidelines Compliance with Payment Card Industry Standard					

Strong public financial management

Well-developed financial management to support long term and short term financial and operational performance Ensuring financial management is integrated at all levels of planning and control Robust financial planning processes and procedures: Annual budget and Medium Term Financial Plan linked to the Business Plan and Partnership Plan Quarterly budget monitoring reports to Leadership Team, and Audit & Governance Committee. Risk based approach to maintenance of reserve balances

Financial implications considered and reported in all committee reports and in project management framework

Principle G: Implementing good practice deliver effective accountability	ctice in transparency, reporting and audit to		
The local code requires us to:	Evidenced by:		
Good Practice in Transparency			
Writing and publishing reports in a balanced, understandable and easily accessed style Striking a balance with regard to the amount of information provided	Reports template used for all committees and reports reviewed and signed off by senior officers before publication All committee business published on website Freedom of Information/Environmental Information Regulations compliance Publication Scheme Open Government requirements (including delegations) Annual Review published on Website		
Good Practice in Reporting			
Reporting at least annually on performance, value for money and stewardship of resources in a clear, timely way	Robust performance management framework in place: Business Plan monitoring, Performance Indicators, Service delivery Dashboards; reviewed by Leadership Team and Audit & Governance Committee on quarterly basis Annual Review of performance and outcomes achieved External Audit reports to Authority annually on Value for Money and Use of Resources		
Ensuring members and officers take "ownership" of the reported results	Scheme of Delegation, Standing Orders, Financial Regulations		
Ensuring robust arrangements for assessing the principles in this framework are applied, including an action plan for improvement	Continual review of systems of internal control by officers and Internal / External audit. Formal review of governance arrangements in order to produce the Annual Governance Statement to accompany the Statement of Accounts		
Ensure this framework is applied to joint working/shared services	Annual Review report produced at year end that		
Ensuring that performance information accompanying the financial statements is prepared on a consistent and timely basis and allows for comparison with similar organisations	summarises the Authority's performance against Business Plan objectives and outcomes. National Park family performance indicators reported annually		
Assurance and accountability			
Ensuring that recommendations for corrective action made by external audit are acted on	Internal and External audit plans and reports taken to Audit & Governance Committee and to the Authority at year end. All recommendations and actions reported publically		
Ensuring an effective internal audit service is in place	Internal Audit provided by the Devon Audit Partnership who demonstrate compliance with Public Sector Internal Audit Standards Report marking and Officer working groups in place		
Welcoming peer challenge and regulatory inspections and acting on	Benchmarking and Officer working groups in place across National Parks family to challenge, learn and		

recommendations

Gaining assurance on risks delivered through third parties and ensuring that this is evidenced in the annual governance statement

When working in partnership, ensuring arrangements for accountability are clear

share best practice.

Audit report recommendations are followed up and implemented

Formal partnership agreements are always put in place that set out roles, responsibilities, accountabilities and risk.

Continual risk management undertaken and reported to Members during the year to provide assurance

ANNUAL GOVERNANCE STATEMENT 2022/23

SCOPE OF RESPONSIBILITY

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

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

The Authority has developed a Local Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government'. A copy of the code is available on our website. The Annual Governance Statement explains how the Authority has complied with the Local Code of Corporate Governance and also meets the requirements of regulation 4(2) of the Accounts and Audit (England) Regulations 2015 and the amended regulations for 2021 in relation to the publication of a statement on internal control.

THE PURPOSE OF THE GOVERNANCE FRAMEWORK

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

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

The governance framework has been in place for the year ended 31 March 2023 and up to the date of approval of the Business Plan and Statement of Accounts. The framework has been further supported by the Local Code of Corporate Governance.

THE GOVERNANCE FRAMEWORK & LOCAL CODE OF CORPORATE GOVERNANCE

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

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

- The vision, objectives and priorities for Dartmoor National Park are set out in the National Park Management Plan Your Dartmoor. This document via a process of extensive community involvement and the associated action plans are reviewed and reported upon annually by involving a wide range of partners/stakeholders. A fundamental review of the National Park Management Plan was completed in 2021 and a new National Park Management Plan (2021-26) was adopted. The Authority engaged with partners, stakeholders and the public so that they could help develop the future vision for the National Park and key priority actions to deliver that vision.
- The Business Plan for the Authority is a strategic document which provides a link between the National Park Management Plan and work programmes (for teams and individuals). The Business Plan, including priorities and targets, is reviewed annually and a separate annual review is produced in June to report on performance and highlight key projects undertaken in-year. The performance of individual services/teams is monitored through a series of dashboards and agreed performance indicators which are reported to Audit and Governance Committee.
- The Authority's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer (CFO) in Local Government (2016).
- The principles of decision making are set out in the Authority's Standing Orders, supported by:
 - 1. Financial Regulations, a Disposals Policy, a Sustainable Procurement Policy and Procurement Procedures:
 - 2. The Authority's adopted codes of practice in relation to Treasury Management for Investments and for Capital Finance and Accounting (the Prudential Code)
 - 3. Scheme of Delegation
 - 4. Code of Conduct for Members and Officers
 - 5. Job / role descriptions for Members and Officers
 - Policies and Procedures
- Public involvement and transparency in decision making is facilitated through formal
 consultations, workshops, involvement in service reviews, consultative forums with
 members of the community representing access, land use, conservation, businesses
 and community interests and public participation at the Authority and its Committees.
- Ensuring that established policies, procedures, laws and regulations are complied with is the responsibility of nominated statutory Officers, the Monitoring Officer and

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

- A Risk Management Strategy that defines and identifies the process for ongoing risk management and the responsibilities of the various stakeholders in the risk management process.
- A Strategic Risk Register is compiled, regularly reviewed and monitored by the Audit and Governance Committee and Leadership Team. Leadership Team monitors and manages operational risks via service plans, work programs and Service Dashboards. The Authority's internal project management guidance requires identification and management of risks.
- A programme of service reviews or value for money/business reviews that look closely at and challenge service provision and delivery and discharges the Government's Value for Money requirements for the Authority.
- Comprehensive budgeting systems set targets to measure financial performance which are reviewed by the Leadership Team and reported to the Audit and Governance Committee on a quarterly basis for detailed review and scrutiny.
- Performance management is applied consistently throughout the Authority against a Performance Management Framework. Reports of progress against performance targets are reported quarterly to the Leadership Team and the Audit & Governance Committee.
- The Standards sub-Committee monitors the ethical framework for the Authority and will alert the Authority to any potential issues arising from its decision-making processes.

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

REVIEW OF EFFECTIVENESS

The Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of the effectiveness of the system is informed by the work of the Leadership Team and other Officers within the authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's (Devon Audit Partnership) annual report and also by responding to comments and recommendations made by external auditors and other review agencies and inspectorates. The Authority also ensures that assurance arrangements, from Internal Audit, conform with the governance requirements of the CIPFA Statement on the Role of the head of Internal Audit (2019).

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

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

Action	Progress
Financial management training for all relevant staff (linked to change processes)	Ongoing. A workshop in relation to the newly adopted procurement procedures was held in February 2023 for new staff who have recently joined the authority and as a refresher for existing staff members.
Landscape Review – public response, the way forward how will this affect the way we work	Ongoing. The Government has not yet published its response to the public consultation regarding potential changes to National Park purposes and increased powers for enforcement. In the meantime the Authority has ensured that its Business Plan and the Dartmoor partnership Plan reflect the key themes of the Landscapes Review and the Government's wider policy commitments; balancing these against local priorities.
Review of Corporate documents	Risk Management Policy - completed January 2023 Risk Register – reviewed and updated in line with external audit recommendations. Procurement procedures - completed December 2022 Members Code of Conduct – to be completed in 2023/24
Implement a self-assessment review for the Audit and Governance committee	Ongoing. A self-assessment questionnaire has been drawn up, in line with CIPFA's Audit and Governance Committee Self-assessment of Compliance with Good Practice. This is currently being reviewed and will be submitted to Audit and Governance members to complete later in 2023.

GOVERNANCE ISSUES

Although the Authority has been assessed as having strong Governance arrangements in place, to ensure continuous improvement, it is proposed that the following work is undertaken during 2023/24:

- Membership the Authority's membership will change following the local elections (local authority and parish council appointments) and due to Members completing their tenure (Secretary of State appointment).
- Member induction and training with new Members joining the Authority this will be a requirement.
- Corporate Documents Financial Regulations and Standing Orders
- Financial sustainability conduct work to address Authority budget shortfalls in 2024/25 and 2025/26
- External Audit Ensure a smooth hand over during 2023-24 from the current auditor Grant Thornton to the new auditor Bishop Fleming.

The Authority has not had to alter its governance arrangements or it's systems of internal control during the 2022/23. Our business continued as usual through adapted ways of working, with staff continuing a blended approach to either work at home, in the office or a mixture of both. Committee meetings, working panels and other meetings are on a face-to-face basis, but we continue to provide for external speakers to attend remotely. We have not had to alter our longer-term plan, priorities, strategies, or plans. Our current governance arrangements and systems of internal control have remained fit for purpose.

CERTIFICATION

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

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

Signed:	Signed:
P Woods Chair of the Authority	K D Bishop Chief Executive (National Park Officer)
Date:	Date:



Dartmoor National Park Authority Audit & Governance Committee 26 May 2023

SMALLER BODIES AUDIT REGIME

Report of the Head of Business Support

Recommendation: That Members note the outcome of the Authority's suitability for

a Small Bodies Audit

1 Background

1.1 In 2016 and 2021 Members approved Dartmoor National Park Authority opting into the national audit appointment arrangements of Public Sector Audit Appointments (PSAA Ltd) for appointment of the Authority's external auditors.

- 1.2 The Authority's current external auditor is Grant Thornton; this appointment was made via a procurement process led by the Audit Commission in 2016 and then PSAA Ltd in 2021. This was following the abolition of the Audit Commission within The Local Audit and Accountability Act 2014.
- 1.3 In 2016 the Authority considered all its options for either being part of the procurement process with PSAA Ltd. The Authority also considered the pros and cons of becoming a 'smaller body' for audit purposes. This would entail a lesser Audit and a cheaper option. But there were many cons, particularly Members, the public and DEFRA having less assurance on the accounts.

2 Where we are now

- 2.1 PSAA Ltd have announced the procurement outcome and advised of the likelihood of a major re-set of total fees for 2023/24, involving an increase of the order of 150% on the total fees for 2022/23. The actual total fees will depend on the amount of work required, which is still to be established. PSAA Ltd will consult on the fee scale for the 2023/24 audit in early autumn 2023.
- 2.2 Due to the rising costs (refer to Table 1 for details of the Authority's audit fees), Audit and Governance Committee Members requested that officers review the possibility of the Authority having a reduced audit. This would require for the Authority to be audited under the Smaller Bodies Regime.

Table 1: External Audit Fees payable by the Authority 2018/19 - 2022/23

Year	Audit Fees	Percentage increase or decrease from previous year	Cash increase or decrease from previous year	RPI for the calendar year	Audit Fees if linked to RPI	CPI for the calendar year	Audit Fees if linked to CPI
	£	%	£	%		%	
2018/19	9,610	0.00%	9,610	3.30%	9,927	2.50%	9,850
2019/20	16,036	66.87%	6,426	2.60%	10,185	1.80%	10,028
2020/21	16,610	3.58%	574	1.50%	10,338	0.90%	10,118
2021/22	16,560	-0.30%	-50	4.10%	10,762	2.60%	10,381
2022/23	23,060	39.25%	6,500	11.60%	12,010	9.10%	11,326

3 Conclusion

- 3.1 The "Smaller Authorities' Local Audit and Accountability Framework: A guide" states: A smaller authority is an authority that has gross annual income or expenditure (turnover) below £6.5 million. Furthermore an organisation needs to be below the £6.5 million threshold for three years in a row to qualify as a 'smaller body'.
- 3.2 In 2021/22 the Authority's gross expenditure was nearly £6.8 million. Admittedly in the previous year (2020/21) our gross expenditure was £6.1 million i.e. below the threshold. The 2022/23 accounts are still being collated, but we are likely to be above the threshold again.
- 3.3 With the Authority being on the cusp of this threshold, it would be an arduous task to revert from one audit regime to another.
- 3.4 The Authority has committed to the 5-year PSAA Ltd audit appointment, with Bishop Fleming being appointed. When this appointment ends, this would be an opportunity for the Authority to review again.

ANGELA STIRLAND



Dartmoor National Park Authority

26 May 2023

Business Plan Monitoring 2022/23

Report of the Head of Organisational Development

Recommendation: That Members note the content of the report and comment on

performance against the key actions identified in the 2022/23

Business Plan

1 Purpose of the Report

- 1.1 This report informs Members of the Authority's performance against the key actions identified in the Business Plan for 2022/23.
- 1.2 The Authority uses a spreadsheet (traffic light system) to track progress which is reviewed by Leadership Team each quarter. A copy of the Business Plan monitoring spreadsheet for 2022/23 is attached in Appendix 1.
- 1.3 Members will be aware that whilst this report focuses on specific key actions, the current Business Plan also recognises that the Authority's core business continues on a daily basis.

2 Performance against Key Actions

- 2.1 The Business Plan 2022/23 identifies 25 key actions relating to the following priorities for the Authority:
 - 1. Better for Nature
 - 2. Better for Cultural Heritage
 - 3. Better for Farming and Forestry
 - 4. Better for People
 - 5. Better for Communities and Business
 - 6. Be an excellent organisation
- 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 Progress made against the 25 key actions is summarised below:

Progress	No.	%
On target / completed	10	40
Delayed / behind schedule	9	36
Unlikely to complete / will not be completed	6	24

2.4 Six key actions have not been completed in 2022/23:

No.	Key action	Reason
4	Produce species re- introduction strategy	Officer capacity and revised priorities
12	Byelaw Review	Byelaw review is paused awaiting Court of Appeal decision (July 2023) regarding backpack camping
14	Develop a Green Transport Strategy	Officer capacity and revised priorities
16	Design Guidance Supplementary Planning Guidance Document	Staff capacity and potential changes to the status of Supplementary Planning Guidance by the Government
21	Dartmoor Foundation	Progress delayed due to work pressures and priorities – specifically backpack camping and agrienvironment rollovers
25	Developing a strong evidence base	Officer capacity

3 Key Actions – further information

3.1 <u>Key Action 1: Working with the SW Peatland Partnership deliver a programme of Peatland Restoration</u>

The work at Ockerton Court carried on until the 31st March 2023 and has utilised sheep wool pillows, which were developed following a Dartmoor farmers visit to Cumbria in the Spring of 2022. Work at Tavy Head and Hangingstone Hill was not undertaken but restoration plans and engagement have been developed further.

3.2 <u>Key Action 5: Working with Environment Agency and others to deliver the Dartmoor</u> Headwaters Natural Flood Management Project

Regular liaison and updates with the Environment Agency have improved since the appointment of the Dartmoor Headwaters Coordinator but concerns, which the team are assisting with, on the submission of the business case for the project. The £200,000 secured from the Flood Levy Fund has enabled the team to engage with land managers and develop as well as implement projects. It is likely that the Business case will be submitted in Q1 of 2023/24, and if approved, monies will be released later in the year.

3.3 Key Action 6: Delivering Biodiversity Net Gain

The Authority was allowed to and applied for the full Biodiversity Net Gains grant from central Government (so-called new burdens money available to all local planning authorities). The grant agreement terms indicated that you could carry forward money from one financial year to the next for commitments made, but not paid for. The Authority has been informed we can only claim for costs paid and not for the commitments we have made going forwards. It transpires the agreement was for Local Planning Authorities (Councils) whose funding mechanism is different to that of the National Park Authorities. We are currently in discussions with Defra to try and address what we see as fundamental 'injustice', but there is the potential we will not be allowed the full grant and the commitments we have made are therefore borne from our core revenue funding.

3.4 Key Action 7: Valuing Cultural Heritage

The Environment Agency are cognisant of the impact of the delay in the submission of the Business Case on the cultural heritage team providing the necessary advice. The wider team (Headwaters and cultural heritage) however continue to work well together to ensure that works are given the necessary advice before starting.

3.5 Key Action 8: Deliver Farming in Protected Landscapes

The team continue to engage with a wide range of projects and support applicants through their submission. The timing of the programme means that, whilst committed, some funds cannot be released due to work not being not being undertaken within the calendar year. The team have identified key actions to improve the communication and delivery in 2023/24 for this well regarded funding programme.

3.6 Key Action 13: Miles Better

DNPA received £64,000 from Defra in 2022/23 to deliver a series of disability infrastructure projects. There will be further monies released in 2024/25.

In spite of the money not being confirmed until November 2022, there are a number of sites where the team have worked to improve access provision including:

Brent Island - Improved access including a new access ramp into the stone shelter **Burrator Arboretum Sensory Trail** (Phase One) - New path surfacing and drainage improvements of 1km, figure of eight woodland nature trail.

Cantrell Moorgate parking area - Much needed resurfacing improvements and a new easier-access gate fitted at top end of parking area leading out onto the moor.

Bellever Forest Miles Without Stiles route – Improved signage and waymarking of this popular Miles Without Stiles route.

Bittaford – Improved access along newly surfaced public footpath to popular village play area.

Peat Cot - New surfaced section of the Nun's Cross Miles Without Stiles route **Norsworthy Bridge**, **Burrator** - A new surfaced access slope (using granite base and top surfacing) onto this site and wheelchair-friendly picnic tables have been provided. **Parke to Wray Valley Trail link** - New surfacing has provided a much smoother

surface for walkers, young families, pushchair and mobility scooter users.

Widecombe Village Circular Trail - Removal of awkward stiles replaced with new pedestrian gates and boardwalk section.

Yarner Wood (new Miles Without stiles route) - Resurfacing of damaged, rough sections of path through this ancient woodland site.

3.7 Key Action 19: Deliver DNPA's Climate Action Plan

The Authority is on track to meet its commitment to be carbon neutral by 2025 but we are still awaiting final report from the contractors who have been assessing the carbon sequestration associated with our land holdings. A full report on the Climate Action Plan will be presented at a future Authority meeting along with an outline of our plans for the next Action Plan.

4 Key themes impacting delivery

4.1 The overall picture is of sound delivery against key actions in the Business Plan.

The key factors contributing to slow delivery or actions having to be paused include:

Staff turnover – staff leaving the organisation and posts being 'frozen' due to uncertainty about our core funding.

Staff recruitment – we have struggled to recruit suitably qualified staff to key posts often meaning that we have to re-advertise which, in turn, generates further pressure and work.

Staff absence – many staff take no or very little sickness absence but if a member of staff is on sick leave we have no 'spare' capacity to backfill leading to increased pressure on other work colleagues and delays.

New priorities – during the course of 2022/23 we have had to deploy staff resource to support the backpack camping legal challenge and other issues such as the agrienvironment rollover situation.

- 4.2 Leadership Team continues to closely monitor officer workloads and recognises that there is limited capacity to cover for absences of key posts. This significant risk is identified in the Authority's Strategic Risk Register reported separately (see NPA/AG/23/009).
- 4.3 The Authority has been successful in responding to opportunities to bid for external funding. This is, of course, positive, however this also adds pressure to deliver and places additional demands on support services (e.g., HR, ICT, Finance).
- 4.4 Members are invited to analyse the Business Plan monitoring spreadsheet and question or seek assurances regarding the delivery of the 2022/23 Business Plan.

5 Equality and Sustainability Impact

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

6 Financial Implications

6.1 There are no financial implications arising directly from this report.

7 Conclusion

- 7.1 Members will note that the Authority has completed or made significant progress against the majority of the key actions in the Business Plan 2022/23. Once again, this has demonstrated the hard work, dedication and commitment of 'Team Dartmoor' to deliver for Dartmoor.
- 7.2 The report also highlights that the Leadership Team have identified key issues that are having an ongoing impact upon delivery. Leadership Team also recognise the significant risk that staff absence presents and are therefore providing support, communication and advice to managers, to ensure workloads are realistic and there is a proactive focus to support employee wellbeing. Maintaining services and securing external funding when our core funding is continuing to reduce and we are facing problems recruiting staff to key posts is a real and growing challenge.

NEIL WHITE

Attachments: Appendix 1 - Business Plan Monitor 2022/23

2022 05 26 NW Business Plan Monitoring 2022/23

Business Plan Monitor 2022-23

Actio	Key Action	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)	
BETT	ER FOR NATURE						
				Milestone: Restoration plans reviewed. Finalise work on Prison Farm and set- out timetable for Ockerton, Hanging stone, Burrator, Tavy Head restorations	Milestone: 372 Ha of works planned across Ockerton, Hangingstone, Burrator, Tavy Head. Review of work to date. Meeting of Peatland Partnership.	Milestone: Annual review of work and complete works at Ockerton, Hangingstone, Burrator, Tavy Head and identify any delays or pressure points	
1	Working with the SW Peatland Partnership deliver a programme of Peatland Restoration Outcome sought: Restoration and enhancement of 1000 ha of peatland on Dartmoor by 2026 to deliver multiple benefits.	RD	in autumn. Prison Farm to be completed from August. Peatland Partnership delayed until Sep/Oct.		Actual progress: Work started on Ockerton Court as forecast. Availability of contractors delayed the start of the work at Tavy Head and Hangingstone, which is now hoped will start in Q4 at Tavy Head and possibly August 2023 at Hangingstone. Dartmoor Peatland Partnership site visit (Prison Farm) and meeting held in October. Headwaters Co-ordinator recruited to start in Q4.	Actual progress: Work at Ockerton carried on until 31st March with willow faggots and sheep wool pillows all added into the works. Work at Tavy Head delayed and at Hangingstone Hill not undertaken.	
	Deliver landscape scale nature enhancement		Milestone: Work with partnership to submit Landscape Recovery bid for East Dartmoor. Provide support to Maristow with their LR bid. DNEAG meeting	groups. Work with Penn and Stall to produce vision. Play key role in East Dartmoor LR is successful with EOI. Focus on building partner consensus and working within key areas.	Milestone: Continue delivery in 2 catchments plus support other significant landscape opportunities. DNEAG meeting	plus support other significant landscape opportunities	
2	Outcome sought: Pilot nature enhancement/recovery at a landscape scale across at least two catchments working with clusters of landowners/farmers to identify and develop opportunities and engaging local communities where possible	enhancement/recovery at a landscape scale across at least two catchments working with clusters of landowners/farmers to identify and develop opportunities and engaging local communities where		Actual progress: East Dartmoor LRA bid submitted late May with decision expected in Aug. Maristow submitted bid but declined financial or advisory assistance. DNPA did not have sight of bid before submission. DNEAG meeting booked for mid Aug	Actual progress: East Dartmoor LRA bid successful and now working through enrolment phase ahead of development. Focus on Erme, Yealm and Walkham as priority catchments, working with commoners and individual farmers to explore opportunities. Dartmoor Natural Environment Advisory Group met to discuss better collaboration between partners and Dartmoor Advisors Forum has been reestablished with meeting in Q3. Loss of nature recovery post remains challenging.	Actual progress: Recruited Headwaters Coordinator which will provide capacity for nature enhancement work. East Dartmoor LRA passed to development phase and uptake from landowners good with some gaps left to address. Commissioned work for Erme and Yealm with increasing contact being made. Cluster group on Walkham being formed. Some progress on Okement but slow.	Actual progress: East Dartmoor LRA passed to delivery phase. Continued work on Erme and Yealm, cluster group in development and looking at LR application for Walkham catchment
	Improved understanding of soils and their role in carbon management, flood		partners	Milestone: Deliver existing soil projects (OUC) and identify funding for expanded programme	Milestone: Partnership with DoC and year 1 programme underway	Milestone: Secure additional funding and complete year 1 programme and Our Upland Commons targets	
3	management and nature recovery	CG	Actual progress: No progress due to other priorities in HFP (OUC, FftF)	Actual progress: No capacity with FftF and OUC being prioritised. Recruitment of new team member will provide extra capacity.	Actual progress: No progress but Farm Support Officer now recruited so capacity available to develop soils offer in Q4	Actual progress: Outline programme produced for soils hub which will gather relevant info in one place and identify key knowledge gaps. Capacity available to develop soils offer in Q1. Very successful project underway looking at dung beetles and relationship with soil health.	
4	Produce species reintroduction strategy Outcome sought: Strategic approach focusing on	CG	Milestone: Form and meet specialist group to inform requirements	Milestone: Draft strategy produced and distributed for consultation	Milestone: Final strategy produced	Milestone: Amended 0223 Publish strategy Use Test & Trials funding to commission specialist to produce strategy to include existing species prioritisation. Use Dartmoor Natural Environment Advisory Group (DNEAG) to feed into process. Final delivery in Q1/2	
	species that support the greatest environmental benefit. A framework for community engagement.		Actual progress: No progress, will begin in Q2/3	Actual progress: Capacity limited to progress this work. Aim to progress with Dartmoor Natural Environment Advisory Group before end of 22/23	Actual progress: Tender being developed to support delivery from additional T&T funding. This will be let in Q4	Actual progress: T&T funding secured, identifying consultant and DNEAG meeting in May to discuss	
	Working with Environment Agency and others to deliver the Dartmoor Headwaters Natural Flood Management Project		to deliver peat/NFM as integrated programme and reconcile other projects with Headwaters.	Milestone: Employ HE and Engagement Officers. Prioritise catchments with nature enhancement objectives and begin delivery in Phase 2 catchments.	by partnership. Seek closer working relationships with related initiatives.	make recommend improvements	
5	Outcome sought: Targeted use of natural approaches to flood management that deliver a range of public n=benefits in a way that supports the farming/land owning community. Use learning from this project to support development of Environmental Land Management Schemes.	CG	Actual progress: PM not requited following 2 attempts. Role rewritten and will be re-advertised in Aug. Priority catchments agreed with EA who have also made progress with business case. Ongoing meetings with headwaters and wider partners to improve integration. C&LM developing new framework for delivery to further facilitate integration.	Actual progress: Readvertised for Headwaters coordinator but no further recruitment due to concerns with project start date. Business case likely to be further delayed, 2 key EA staff leaving project and lead on long term sick. Morale within DNPA NFM team low. £100k released from flood levy fund to be used immediately and small project being funded by DCC. Concern growing over project momentum and potential change of project lead/team within the EA.	Actual progress: Headwaters Coordinator employed. £120K of funding committed for delivery in Q3/4. EA business case will not be completed until Q1, due to national process policy. Budget to be cut from £6m to £3m for remaining 4 years of project. Officers continue to work in new catchments and FiPL but unable to provide timelines for funding.	Actual progress: EA Business Plan ready for submission but remains delayed. Development funding available from Q2 but full funding unlikely until 2024. £200K secured from flood levy fund to provide interim capital for project. Increased effort on integration which is improving. Projects continue to be delivered on the ground with limited funds.	

Action No.	o. Key Action Officer (April, May, June)		Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)		
	Delivering Biodiversity Net Gain		Milestone: Final Joint Technical Guidance Published. Review first cases with DCC ecology service.	Milestone : Arrange stakeholder meeting with Habitat Bank to discuss their role and further understanding of market. Scope need for DNPA guidance.	Milestone: After a year of DNP BNG policy requirement, evaluate market for BNG in NP and reassess DNPA's role.	Milestone: Apply for new burden funding	
6	Outcome sought: Detailed technical guidance on Biodiversity Net Gain linked to the new Dartmoor Local Plan to deliver enhancement to biodiversity within the National Park. NB this is a pan-Devon initiative.	AG	Actual progress: Awaiting final draft from DCC prior to seeking Member endorsement.	Actual progress: Chasing final draft from DCC prior to seeking Member endorsement (informal draft published online). DCC BNG group being formalised with small subscription	Actual progress: DCC guidance formally published. Seeking meeting with stakeholders to review DNPA's position in market place. Contributing to DLUHC sounding board.	Actual progress: Applied for Defra BNG Grant, currently only partially granted because of financial restrictions. Have worked with Ecology and DCC to develop spend plan including joint DCC BNG Officer and DNPA Assistant Ecologist proposal	
BETTE	R FOR CULTURAL HERITAGE						
	Valuing Cultural Heritage		Milestone : Evaluate pilot significance surveys completed on 2 catchments and identify priorities for Headwaters phase 2.	Milestone : Ensure new staff understand HE and place in upcoming works through training and site visits. CHAG meeting	Milestone: Tender initial contracts to produce significance surveys in priority NFM catchments as Ph 2 begins	Milestone : As Q3 plus provide relevant advise to inform Headwaters works.	
7	Outcome sought: Apply agreed methodology to assess historic environment significance, priorities and constraints for use by conservation projects operating at a landscape scale.	CG	Actual progress: Complete	Actual progress: Headwaters team provided training for SigCon and Peatland staff given training with HE, Cultural Heritage Advisory Group formed, meeting before Christmas. Significant fieldwork carried out over summer including test pitting and research work with Leicester Uni at Dewerstone, Brief for works at Cut Hill being finalised.	Actual progress: No NFM money unlocked so Phase 2 catchment surveys postponed. Upper Teign survey complete	Actual progress: Advice still being provided for NFM works but still no funding unlocked through EA for surveys	
BETTE	R FOR FARMING AND FORESTRY						
8	Deliver Farming in Protected Landscapes (FiPL) Outcome sought: Efficient delivery of Farming in Protected Landscapes (FiPL) - budget allocation is fully spent and farming community is receiving funding to deliver the four objectives of FiPL (Nature, Climate, People and Place). Learning from FiPL is applied to the development of the new Environmental Land Management system.	JS	Milestone: Projects with existing grant award actively monitored with clear expectation of claim and completion dates. FiPL team actively liaising with colleagues (Planning, Historic Environment, Ecology, Finance, Rangers etc) with weekly updates. At least one FiPL Panel meeting undertaken with all new agreements/feedback to applicants complete. Monthly and Quarterly Defra returns complete to time & accuracy. A selection of exemplar projects have been communicated/celebrated to Dartmoor's community through a range of channels, website up to date. Actual progress: Paper on first twelve months of Dartmoor FiPL to July Authority meeting (with more detail). All 'live' applicants have been contacted to request update to expected work, Onward Agreement has been amended to include start and finish dates for each activity/item. 2022/23 Assessment Panel meetings have been held in April, May and July with meetings booked every six weeks for the remaining year. Minutes and details of awarded grants are published on DNPA website. vacant Advisor post now filled, Assistant post vacant pending recruitment. Defra reporting up to date. Promotion of case studies etc behind schedule.	Milestone: As previously +; two FiPL Panel meetings undertaken with all new agreements/feedback to applicants complete. Monthly and Quarterly Defra returns complete to time & accuracy. A number of demonstration days have been provided by successful FiPL applicants to share learning, website up to date. Awarded projects with high delivery confidence should be over 70% of the year's project fund, with the remaining 30% expected to clear application during the next quarter. Actual progress: Average grant award value has picked up over the last couple of Panel meetings, so have actually committed 84% of grant fund for this financial year (~£466,000 of £556, 372). Panel meetings were held in August and September (latter re-scheduled to 7th Oct to achieve quorate attendance). Appointed Programme Asst who took up role in early Oct. so team back to full strength, however we are behind with administrative work and applicant liaison. Defra report overdue, back on schedule by mid Oct. Project enquiry handling and other communications will be up to date by end Oct but we will prioritise applications. Still no case studies promoted and will aim to deliver this autumn, will also contact all applicants to assess delivery confidence. Expect 100% funding to be committed by Christmas.	Milestone: As previous quarters, at least one Panel meeting undertaken with processes complete. A number of demonstration days have been provided by successful FiPL applicants to share learning. Awarded projects with high delivery confidence should be around 100% of the year's project fund, with the opportunities to back fill identified. Significant project value claimed (~30% project fund for year). Actual progress: Allocated funding is at £527k (of £556k) with a further ~£50k of completed applications to approve. Panel meeting 25th January. Some demonstration days have been taking place. All applicants have been contacted to request an update on progress, with a reminder now sent where relevant. £110k claimed to date. Team are still working on confidence to complete for current projects, although some low confidence projects have already been removed from this year's forecast (hence down to £527k). All Panel meeting/decision notes available on website with more detailed record of all grants awarded, still to produce and promote case studies. November Defra report submitted late, December on time.	Milestone: At least one Panel meeting undertaken, processes complete. 100% of the year's project fund to Finance by the third week of May. Communication through a number of local channels to celebrate success and exemplar projects. Over £200k value awarded to FiPL year three (23/24). Actual progress: Including forthcoming 22/3 claims accrued for our closing position for grants is £552,569 of allocation £556,372 (99.32%). This despite having reached our full allocation last quarter, and another challenging end of year with significant 22/3 projects telling us late in the year they will not complete and seeking rollover. With around £100k moving to 23/4 we start the next year with £347,484 of ~£600k already committed. Team and Panel are working effectively and have identified a number of actions to improve performance for 23/4&5, with a provisional offer of higher operating budget these improvements, including better PR are feasible.	
9	Dartmoor Hill Farm Project Outcome sought: Support for farm businesses across the National Park to help them deliver a range of public goods as part of a sustainable business and promote effective collaboration.		Milestone: Deliver OUC objectives. Work with PCF to develop next phase of Farm for the Future Programme (FftF). Develop and submit T&T 'pilot' Actual progress: OUC projects behind but delivery in progress. Very successful farm study tour run to Cumbria/Yorkshire for Postbridge group. Helped with FftF development which PCF have successfully secured. PCF also provided additional £20k funding/yr. for 3 years. T&T EOI submitted and ongoing talks with Defra.	Milestone: Review and improve membership offer ahead of September renewals. Recruit farmers for FftF. Provide support for AES applications Actual progress: PCF provided £30k to support new post which is being recruited now. FftF will provide balance for post. FftF recruitment and promotion started for Q3 start date. T&T application successful, delivery to start in November. Attended all Dartmoor agricultural shows over summer to raise profile and encourage membership.	Milestone: Begin FftF delivery. Identify and secure HFP funding for following year. Support cluster group delivery and Transition programme Actual progress: PCF Post recruited and due to start in mid-January subject to references. FftF underway and we have signed up 32 new people and last year's group participating. Two compulsory workshops completed and now delivering 4 options. Developing communications plan with improvements to website, emails and social media. Developed two new Farmer Breakfasts groups and about to initiate mental health first aid training for farm advisors. T&T underway and contract signed. CCRI stared work on farmers recruited for relevant groups	Milestone: Ensure delivery of all OUC objective and complete FftF year 1. Actual progress: FftF completed successfully. OUC healthy livestock and walling club complete. Great gather handed back to OUC project due to capacity and young commoners about to begin.	

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
	Our Upland Commons		Milestone: Continue to deliver against key milestones. Third common identified and work programme and initiatives. Quarterly meeting of Local Area Group (LAG) held in June.	Milestone: Review progress of work on Holne, Harford and Ugborough and Walkhampton. Deliver results of Healthy Trees survey and Ko moot walking trail. Quarterly meeting of LAG held in September.	Milestone : Quarterly meeting of Local Action group. Review visioning on each common.	Milestone : Review Year 2 delivery and targets for Year 3. Meetings of Project board, steering group and Local action group.
10	Outcome sought: Deliver agreed outcomes for National Lottery Heritage Fund programme, including shared local visions for commons, showcasing new approaches to management of common land to deliver a range of public benefits and improved thinking about new Environmental Land Management system.	RD	Actual progress: Project Officer continues to deliver against the milestones and several events held in Q1. Further work needed to progress delivery and engagement on Walkhampton. Partner engagement generally good although low turnout for Local Action Group in June.	Actual progress: Dartmoor is delivering more effectively than other OUC partners and series of events held including well attended walk for the public led by Commoners and DNPA staff on Holne Moor. LAG meeting cancelled for September due to lack of numbers but papers shared. Issues over Pony Drift and engagement but other engagement successful and plans for Q3 training for local contractors in conjunction with NFM team.	Actual progress: Comprehensive work program me continues to be delivered and meeting of Dartmoor LAG held in December. Group looking at legacy of project and working with Heritage Insider to evaluate the programme. Ensuring HFP can support the elements identified which will be eased in Q4 by start of HFP Support Post.	Actual progress: Healthy Livestock Project nearing completion of Year 1 with issue of reports and working on final reports. Walling training and club events on target and well attended and working on recording of boundaries with volunteers. Outline Young Commoners programme being worked up but behind on Great Gather events
ETTE	R FOR PEOPLE					
	Develop and implement Visitor Management Plan for 2022 season		Milestone : Engagement volunteers recruited and support at key sites from Easter weekend onwards. Dartmoor Marshalls procured and Ranger Team Manager works with them on training. Regular reporting tool used to ensure proper monitoring.	Milestone : Comms strategy shared with partners and regular monitoring to ensure messages are shared. Site management plans for key honeypot sites, produced and shared with partners and landowners.	Milestone: Visitor Management group meet and review summer season (13 October). Agree plans for winter months and review site management plans.	0 0 1
11	Outcome sought: Ensure a warm welcome to all visitors to Dartmoor National Park. Targeted outreach activity to improve inclusivity. Visitor behaviour influenced and changed so that negative impact on the fabric of the moor and local communities is reduced and positive impacts increased.	RD	Actual progress: Engagement Volunteers on a rota at key locations but less recruited than hoped. Unforeseen delay in procurement of Dartmoor Marshalls and hence training and delivery which now starts early in Q2.	Actual progress: Pressures on moor were less in Q2 than in previous two years but clear messaging with fire/bbq ban and associated signs and media being supported by partners. Meeting in Q3 scheduled and to link with Dartmoor Rural Crime Initiative meeting.	Actual progress: Positive Visitor management Group meeting with partners identifying benefits of coordinated work and promotion. This is a sub-group of the reinvigorated Dartmoor Rural Crime Initiative, which met this quarter for the first time in two years. Site management plans not reviewed but winter plans agreed.	Actual progress: Visitor management group to meet in Q1 of 23/24. Plans have been developed by DNPA and in conjunction with D&C Police Rural Crime Unit. Awaiting contact from Police & Crime Commissioner regarding support for Dartmoor Marshalls. Support from partners from previous years.
12	Byelaw Review Dutcome sought: A comprehensive set of easy to understand and implement byelaws (for the commons	ns RD	Milestone: Working party review responses and identify 'minded to make' amendments. Passed to Devon Legal and also to a consultant for a full impac and sustainability assessment. Full timeline shared for next steps and enacting byelaws.	Milestone: Subject to external influences, byelaw timetable shared with t consultees and Authority meeting scheduled.	Milestone : If presented to Authority, final consultation before passed to Defra.	Milestone: Subject to Q2 then amended byelaws will be formally adopted. (Update Jan 2023 - additional Authority meeting /stage held allow for full consultation of the byelaws. They will now be passed to Defra, if approved in late March/early April 2023)
	of Dartmoor and land owned by the National Park Authority) that help people enjoy the National Park's special qualities and ensure these special qualities are conserved for future generations to enjoy.		Actual progress: Working party met and reviewed responses with details sent to Devon Legal and consultant. Timetable developed for engagement and proposed Authority report but subject to some delay due to impending legal claim impacting on elements of the Byelaw review.	Actual progress: Authority meeting for Q3 scheduled. Engagement in Q2 with recreational users and other key stakeholders (internal and external)	Actual progress: Working with DCC legal agreed that we required an interim presentation before the final presentation to Authority in Q4. Special Authority Meeting held in November and further consultation with statutory and key consultees.	Actual progress: Byelaw review is paused whilst DNPA awaits the Appeal Court decision on right to appeal the backpack camping verdict.
	Miles Better		Milestone: Scoping of project objectives, outcomes and key targets and produce action plan with timeline. Identification of target areas/routes (including erosion sites?). Identify delivery mechanisms - fundraising/crowdfunding and volunteer inputs	Milestone: Identify likely funders and resources to implement. Bid to DCC capital works. Bid to military for works at Standon Steps.	Milestone : Works undertaken through FiPL, DCC capital works or D4D	Milestone: Meet with DCC PROW team, review works to date and identify programme for 2023/24
13	Outcome sought: Develop a costed programme of improvements to access infrastructure and secure funding for this programme in order to ensure that all access routes and associated infrastructure is in good condition, easy to use and helps support the Dartmoor economy.	AW	Actual progress: Vision and objectives identified and project plan drafted with action plan and timeline.	Actual progress: Action plan/ delivery plan produced. Our focus has been on working up delivery of the Defra Access for All funding (£63k to be spent by March) and the additional spend allocated by DCC (£43k capital)	Actual progress: Focus on delivery of additional Defra spend before March 2023 and additional funding received for capital access improvement works. Separate to this we have continued with the condition survey for the full network of PROW and will analyse data during next quarter.	Actual progress: Our focus for this area of work pivoted towards delivery of Defra Access for All spending £63k and additional funding from DCC £46k on a range of access improvements and capital investment in the network. Volunteers completed 90% full condition survey of the PROW network and this data will be used to inform targeting of future resources
	Develop a Green Transport Strategy		Milestone: Complete scoping work and confirm timeline. Project team?	Milestone : Research and meetings with partners. Current resource / use ,gal analysis (network/links) and what needs to change. Prepare draft proposals / priorities document. (PMWP/Authority?)		Milestone: Analysis of consultation responses and develop final version - Authority?
14	Outcome sought: A strategy to reduce the impact of cars through congestion or inappropriate parking as people arrive and travel around the National Park by other means of transport, Opportunities for those without access to a car are increased.	AW	Actual progress: Not progressed further due to team capacity and other priorities. Literature review including county and district transport/infrastructure plans	Actual progress: Not progressed due to capacity issues within team. We could produce a brief to buy in some external support to move this forward? A	Actual progress: Not progressed since taking on premises role. premises is taking approx. 30-40% of my time now (1.5 -2 days per week).	Actual progress: Not progressed due to staff capacity.

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
45	Programme of events and activities focused on our Visitor Centres Outcome sought: Attract new visitors/audiences. Provide an opportunity to communicate key messages and explain the work of the Authority and	SH	Milestone: Deliver May Half Term events that promotes the importance of water on/from Dartmoor. Develop co-ordinated approach to activities on the Outreach Vehicle to use as '4th centre' in attracting audiences to VCs on Dartmoor as part of their journey of discovery. Continue to develop comms and social media plan that attracts new audiences. Amend Retail Strategy.	Milestone: Dartmoor Heritage Day delivered at Postbridge. Pop-up shops and crafts at the VCs over the summer holidays (one per week). Source quick donation opportunities in the centres. Continue comms and social media plan that attracts new audiences. Plan and deliver Summer on Dartmoor programme that supports partners and includes events that promote DNPA key messages. Work with Engagement Ranger to establish youth feedback/engagement group to try and reduce incidents of ASB outside VC at night.	Milestone: Finalise exhibitions and events for 2023/4 that reflect the work of the authority and its partners. Develop interpretation plans for Room 1 PVC and scope funding opportunities. Local business and community group drop in session at VCs. Continue comms and social media plan that attracts new audiences. Include ideas from youth group into plans. Plan and deliver October Half Term events.	Milestone: EOI for funding bid Room 1 Princetown. Continue comms and social media plan that attracts new audiences. Plan and deliver Feb half term events. Plan NP fortnight.
15	its partners. Increase income through retail sales and voluntary donations. Ensure community engagement and support for the local economy.		Actual progress: May Half Term events delivered and successful 100% good plus rating. Comms strategy underway - stats to be shared by new Digital Officer once settled in to measure success. Summer events and activities plan for visitor centres not yet developed due to lack of capacity in outreach team. Hoping to develop a lighter touch plan to continue to attract and engage new audiences.	Actual progress: Dartmoor Heritage Day delivered at Postbridge on July 16th. Summer themed events and weeks ran over the summer. Included events complimented by trails and activity stations created by VC staff and VSM. Very well-received by visitors and locals. Comms and social media plan put on hold due to Digital Officer leaving and no BSO in place.	Actual progress: October Half term events focussed around Spooky Legends. Self-guided trail at Postbridge, mask making in all the VCs and a fully booked Puppet making workshop at Princetown. Take up very good and well received. Other plans not taken forward as Visitor Centre Manager has left post and it's not being filled. Centre management currently covered by Head of Comms	Actual progress: A few self -lead half term events at the centres. NP fortnight plans developed and promoted. Other plans not taken forward as no Visitor Centre Manager to deliver
	Design Guidance Supplementary Planning Guidance Document (SPD)		Milestone: Design tour (internal); complete project plan; scope complete; identify support (prepare Brief)	Milestone: initial drafting; appoint consultant support	Milestone: Consultation draft publication	Milestone: Complete revisions; adopt and publish final SPD
16	Outcome sought: New Design Guidance (in the form of an SPD and/or Code) that delivers the Government's growing emphasis on good design in a way which conserves and enhances Dartmoor's local distinctiveness.	AG	Actual progress: Design Tour with DM team carried out. Project plan and scoping complete.	Actual progress: No further progress through Q2 due to focus on Housing SPD drafting.	Actual progress: No further progress through Q2 due to focus on Housing SPD drafting and resourcing. Commencement likely delayed until late 2023.	Actual progress: Limited due to staff capacity and also concerns regarding future government policy.
	Housing		Milestone: Second consultee meeting. Initial draft chapters.	Milestone: Complete first draft. Publish for consultation	Milestone: Consultation and final amends	Milestone: Adopt and publish
17	Outcome sought: New Housing Guidance (SPD) adds detail to the Dartmoor Local Plan, enabling good planning for housing which meets the needs of Dartmoor communities.	AG	Actual progress: Scoping complete and several chapters in draft. Discussed at PC workshop. Not held second partner meeting yet.	Actual progress: Further chapters drafted. Discussed in detail at PSDWP. Discussed in detail with partners at JAC. Agreed approach with Members for final draft for Dec/Jan. Started to commission support for Commuted Sum.	Actual progress: SPD finalised and put to Authority for approval of consultation draft. Consultation start aiming for Feb 2023	Actual progress: Consultation completed and comments reviewed. External consultant supporting with review. Adoption target 1 September Authority
	Community and economic well-being		Milestone: Re-appoint to Projects Officer post. Briefing note on digital connectivity.	Milestone: New Projects Officer in post. Develop connections and identify projects - prepare bids. Briefing paper on economic development role for Member consideration.	Milestone: At least one project funding bid. Continued community/business support. Identify partnership projects. Develop legacy for WeAreDartmoor.	Milestone: At least one project in progress, and at least 2 partnership projects in progress. Continued community/business support. Prepare legacy for WeAreDartmoor.
18	Outcome sought: Priorities for DNPA's role will be established and new projects will be developed working closely with communities and businesses which support the vibrancy and resilience of Dartmoor's communities.	AG	Actual progress: Unable to appoint at first round of interviews. Second round advert out. Continued support to keep in touch with projects in absence of PO. Briefing note on digital connectivity not completed.	Actual progress: Projects Officer recruited and in post. Networks of businesses and community / village halls established. Questionnaire sent to Dartmoor Food and Drink producers to inform legacy of We Are Dartmoor. Support given to Ashburton PO and Village Halls request for funding advice. Co-working on Methodist Church and South Zeal projects.	Actual progress: Discussions had re future format of We Are Dartmoor. Strong links developed with more Dartmoor businesses and clear plan developing for a Dartmoor Business Network. Successfully supported partners in funding bids. Working with South Brent to explore a new CSA project in South Dartmoor.	Actual progress: Officer refocussed to concentrate on Princetown and community climate action projects. These projects are in the process of being scoped and developed.
BE AN	EXCELLENT ORGANISATION					
			Milestone: Land asset carbon footprint to progress. EV procurement finalised. Explore renewable energy procurement. Review Gamechangers discussion with LT. Progress Visitor Centre Sustainable Procurement Strategy.	Milestone : Land asset carbon footprint to complete stage 1 and 2. Decide whether to progress stage 3. Progress Haytor Solar PV. Explore options for improving procurement processes.	Milestone: Land asset carbon footprint concludes. Consider implications for achieving carbon neutrality. Commence Action Plan Review.	Milestone: Conclude Action Plan Review
19	Outcome sought: Aim is to be a carbon neutral organisation by 2025	AG	Actual progress: Land asset carbon footprint progressing, soil sampling complete. EV procurement finalised. Pursuing renewable energy procurement with LASER, summer update due for autumn buy in. Chasing VC sustainable procurement strategy.	Actual progress: Haytor Solar PV on hold, to be picked up with Premises Manager replacement, Land asset carbon footprint delayed due to sampling not being undertaken during drought summer conditions, and Forestry Research soil analysis equipment being condemned. Verbal update to be given to LT in October. Engaged with Devon group looking to improve and make consistent reporting of procurement emissions, including DCC and UoE.	Actual progress: First draft of land asset carbon footprint in hand and being reviewed. Unfortunately likely further delay having identified FCT sampling errors which require correction. Contract likely not to progress beyond foot printing, subject to review with RK. Sufficient sequestration discovered in woodlands to ensure DNPA carbon neutrality. Climate Action to be progressed subject to capacity and support in late Feb/March	Actual progress: Land asset carbon footprint further delayed because of lab delays. Farm Carbon Toolkit currently expecting to conclude in late May. Climate Action Plan Review to be progressed, paper confirming approach to be taken to LT in May.

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
	Dartmoor Partnership Plan Outcome sought: To undertake a light touch review to ensure the Plan related to the		Milestone : Complete Vision poster. Complete Soundscape project. Finalise partner list and programme first Board meeting. Complete indicators and final text revisions.	Milestone: First board meeting and agreement of text revision and next steps. Agree governance and monitoring approach with board. Publish/promote vision. Completed DNP Carbon Footprint and carbon budget.	Milestone: Draft SotPR	Milestone: Second board meeting. End of year reporting. Publish State of the Park report
20	Government's response to the Landscapes Review. Clearly communicate the Partnership Plan Vision, establish robust governance and a monitoring framework for the Plan - linked with a State of the Park Report - and engaging partners in ongoing delivery.	AG	Actual progress: Vision poster complete and published. Soundscape complete. Partnership Plan text fully updated, Plan designed and printed. Web pages updated. Partner list compiled and Board meeting programmed for Jul.	Actual progress: Inaugural board meeting held. State of the Park reporting progressed with report to LT. Soundscape project moved into FP to support capacity in comms/visitor services.	Actual progress: SotP delayed due to need for Visitor Survey (scheduled for summer 2023) and resignation of assistant policy officer. Soundscape project being progressed by Projects Officer subject to project fund bid. SotP and visitor survey to be progressed by APO when in post.	Actual progress: APO in post. Visitor Survey drafted and commencing recruitment of surveyors. Survey to run 27th May to 29th July. APO has commenced research, interviewing and drafting of State of the Park report.
	Dartmoor Foundation		Milestone : Develop business case for the potential Foundation, research operating models, required investment and potential return on investment.	Milestone: Formal Authority paper to seek in principle approval to establish a Dartmoor Foundation and appoint a Working Group to develop the Business Case	Milestone : Future milestones dependent on the Working Group but aim is to agree articles of association and be in position to apply to Charity Commissioners by end of 2022/23.	Milestone:
21	Outcome sought: Scope and, subject to necessary approvals, establish a new 'Dartmoor Foundation' as a vehicle for income generation to support National Park purposes, deliver the agreed vision for Dartmoor National Park and key actions in the Dartmoor Partnership Plan.	КВ	Actual progress: Research completed into differing operational models and the experience of other NPAs.	Actual progress: Authority approval in principle. Working Group established and has discussed draft articles of association. Work started on key skills for trustees.	Actual progress: Key skills for trustees/committee drafted. Proposals for a workshop to develop the foundation and seek 'stakeholder' engagement being considered alongside potential start-up funding. Unlikely that we will be in a position to apply to Charity Commissioners by end of 2022/23.	Actual progress: Progress delayed due to work pressures and priorities.
			Milestone: Scoping paper on scale of financial challenge, future direction - what sort of organisation do we want to be?	Milestone: Discussion of options and priorities with Members (9 September 2022)	Milestone: Staff consultation paper issued	Milestone: Responses to staff consultation analysed and response published. Proposed changes confirmed subject to HR process
22	Business Review Outcome sought: A financially viable, effective and efficient organisation.	КВ	Actual progress: Initial discussion with Performance Review Group and outline timeline developed G	Actual progress: Member workshop postponed to 14 October 2022. Work on track for staff consultation commencing in November 2022.	Actual progress: Staff consultation paper published and analysis of responses commenced	Actual progress: Final structure confirmed and implemented with effect from 1 April 2023 except for the changes to management of communications and visitor services. Additional funding from Defra (see action 23) meant the Authority could keep the National Park Visitor Centre at Princetown open until the next Spending Review.
			Milestone : Submit response to the Government's consultation on the Landscapes Review and Nature Recovery Green Paper. Ensure key stakeholders are briefed and understand our position.	Milestone : Contribute to working group on National Landscape Partnership and brief Authority on Government's response to the consultation.	Milestone: Future milestones dependent on Government's response to Landscapes Review and other consultations	Milestone: No milestone set
23	Contribute to Government reviews and policy Outcome sought: An independent, effective and efficient organisation with strong links to local partners and communities, resourced with finance and necessary tools to 'deliver for Dartmoor'.	КВ	Actual progress: Authority response to the Government's consultation was submitted. Chair of the Authority has engaged in a Defra/National Parks England working group on governance. Dan Janota is involved in work on revised guidance for National Park Management Plans and the proposed Outcomes Framework. Kevin Bishop is a member of the Defra panel advising on evaluation of Farming in Protected Landscapes Programme. Inputting to thinking on National Landscapes Partnership via National parks England	Actual progress: No formal response from the Government. FiPL year one report published for England. Date for an All Party Parliamentary Group meeting on farming in National Parks secured for 15 November 2022.	Actual progress: No formal response from the Government to its consultation on the Landscapes Review. NPE and NPP have been offered funding to support the proposed National Landscapes Partnership/Landscapes and Trails Partnership.	Actual progress: Government response to the Landscapes Review consultation is delayed. Focus in the last quarter was on making the case for additional funding from Defra to help reduce the budget deficit as a result of flat cash settlements for the last 4 years. In March 2023 Government announced an additional £440,000 for each National Park Authority in England.

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)
24	Dynamic Dartmoor' Outcome sought: An external funding package, in partnership with others, to help deliver key priorities in the Dartmoor Partnership Plan, including nature	JS	Milestone : Stage 1 application submitted to NLHF with wide ranging DNPA and partner support.	f	Milestone: Next steps under successful/unsuccessful scenarios planned with dates set. Where Partners' ambition exceeded the scope of available NLHF funding opportunities for progressing these have been explored. We expect decision from NLHF at the end of this quarter.	F p	Milestone: If successful; recruitment of any posts and procurement of services complete and first quarterly report & NLHF monitoring meeting complete. First Partnership Board meeting. If unsuccessful new E.O.I. submitted subject to DNPA/Partnership approval.		Milestone: If successful at Stage 1; all staff and contracts active, consultations underway, Partnership Agreement drafted, background sections of Area Action Plan drafted (describing significance and condition of heritage, maps and images). If unsuccessful at first Stage 1 resubmission could be ready for submission from this quarter. Any opportunities for additional partnership projects (beyond the scope of this bid) could be taken forward.
	recovery, environmental enhancement, engaging and welcoming a wider range of people and supporting sustainable use of the National Park, the local economy, jobs and communities.		Actual progress: submission of Stage 1 application delayed until August '22 round to allow greater consultation with stakeholders and higher quality bid.	r	Actual progress: Stage 1 application for funding submitted to NLHF mid-August, application will be assessed late November and expect decision early/mid-December. Follow up meeting(s) with Partners still to do.	٤	Actual progress: Application for Stage 1 funding successful, development phase activity will start from next quarter.	G	Actual progress: Work is behind schedule in all areas, both DNPA led and Partners. Recruitment for FT officer underway and market research/EOIs for contracted work, initiation meeting held with NLHF. Attention required to catch up but still early in development phase.
			Milestone: Discuss project design and scope with partners, and complete data collection.		Milestone: Complete data analysis and share first draft of report with partner for feedback	r	Milestone : Complete revisions, take report to Authority for noting and publish final report. Report to Leadership Team 08/11/22.		Milestone: Publicity of the published report.
	Developing a strong evidence base Outcome sought: An evidence base and strong								
	partnerships with key organisations (e.g., universities) to support our work, report on the state of the National Park and evidence the impact of work to deliver the Dartmoor Partnership Plan.	AG	Actual progress: Discussed project design and scope of the report with internal partners.	\ u	Actual progress: Scope of the report determined following meetings with internal partners/colleagues. Meeting with leadership team for update on progress and to get a steer on data collection to be rescheduled. Started initial draft of a couple chapters.	a	Actual progress: SotP on hold due to resignation of assistant policy officer and identification of need for visitor survey. Will be progressed when APO in post.	(Actual progress: APO in post and has commenced research, interviewing and drafting of SotP.

Priorities:

- Better for Nature
- Better for Cultural Heritage
- Better for Farming and Forestry
- Better for Parning and Potestry
 Better for People
 Better for Communities and Business
 Be an Excellent Organisation



Dartmoor National Park Authority

26 May 2023

Performance Indicators 2022/23

Report of the Head of Organisational Development

Recommendations: That Members:

(i) note the content of the report;

(ii) analyse the performance for 2022/23 and consider any action which may be taken to maintain and/or improve good performance or to address under-performance

(iii) note the proposed performance indicator targets for 2023/24

1 Purpose of the Report

- 1.1 This report informs Members of performance against the Authority's agreed performance indicator targets for 2022/23 and provides an opportunity to discuss, query and challenge performance against each indicator.
- 1.2 Our performance in 2022/23 and the proposed targets for 2023/24 are provided in Appendix 1.

2 Performance Indicators

- 2.1 The current performance indicator framework comprises a set of 36 indicators. The Authority's current set of performance indicators include 'state of the park' indicators that we have little direct influence over as well as more specific indicators about the Authority's performance. Some of these indicators are agreed locally and others are agreed nationally (i.e., required by Central Government or agreed with other National Park Authorities).
- 2.2 The governance arrangements for the Dartmoor Partnership Plan (National Park Management Plan) include the reporting arrangements for 'state of the park' indicators. These indicators are related to the Ambitions in the Partnership Plan and many are outcome based. We will report these separately to the Authority.
- 2.3 Performance indicators that relate to how our services are performing (a sub-set of all performance indicators) are monitored and reported to the Audit & Governance Committee during the year.

3 Performance for 2022/23

- 3.1 Attached in Appendix 1 is the list of performance indicators including a description of how we measure our achievement. Performance for this year is shown as well as the previous two years (2020/21 & 2021/22) for comparison purposes.
- 3.2 For 2022/23 where a target is met or exceeded, this is highlighted green. If a target has not been met, then this is highlighted red. Those indicators with no highlight have explanatory text or did not have a target set (i.e., pilot year).
- 3.3 The proposed targets for 2023/24 are also included in the final column.

4 Observations

- 4.1 The number of working days lost due to sickness has increased significantly this year with an average of 11.16 days lost per employee in 2022/23 (against a target of 5 days for the year). The figure reduces to 4.17 days lost per employee when excluding long-term absences.
- 4.2 There were 11 long-term absences (more than 4 weeks) which accounted for 63% of days lost (589.5 of 940 days lost in total). Three cases resulted in 385 days sickness absence.
- 4.3 Short-term absence also has an impact on performance and productivity, with coughs/cold/flu (89 days lost) and COVID (85 days lost) the two highest causes of short-term absence.
- 4.4 It is also noted that 38 employees had less than 4 days sickness absence in the period 1 April 2022 to 31 March 2023. A further 37 employees have had no sickness absence in past 12 months.
- 4.5 The footfall to Visitor Centres is slowly increasing to pre-pandemic levels, but it is not quite there yet. One contributing factor to the reduced footfall in Princetown is the ongoing closure of the Ian Mercer Room (Ballroom) due to major repair works. This means we are not able to hold exhibitions and events which has always increased our footfall to the centre and widened our audience reach. It is still unclear when this work will be completed.
- 4.6 Member attendance at Authority meetings was 84% in 2022/23, against a target of 85%.
- 4.7 Quarter 4 performance for determination of applications has been affected by the implementation of the new planning database (IDOX Cloud). A focus on data transfer and sorting teething problems with processing applications and decision making has directly affected the ability to meet specified targets. This was an anticipated consequence of the move to a new application handling system however the transition has been more onerous than expected. It is hoped that performance will pick up when new processes align with the system requirements.
- 4.8 The pre-application advice service remains suspended for most householder level enquiries. The team are picking up a small number where they add value to larger

schemes. Unexpected sickness absence of two senior DM Managers has impacted on team performance and dynamics at the end of the quarter.

5 Equality and Sustainability Impact

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

6 Financial Implications

6.1 There are no financial implications arising directly from this report.

7 Conclusion

- 7.1 Members will note that performance in 2022/23 against the indicator targets is mixed. Leadership Team continue to closely monitor performance and, where appropriate, investigate further to understand the detail behind the figures.
- 7.2 Despite a number of targets not being met, in most cases this does not represent under-performance and 'Team Dartmoor' staff, Members, and volunteers continue to demonstrate dedication, flexibility, and commitment to deliver the Authority's objectives.

NEIL WHITE

Attachments: Appendix 1 - Performance Indicators 2022-23

2023 05 26 NW Performance Indicators 2022-23

Ref No.		II we measure our chievement	Respon sible Officer	Outturn 2020/21	Outturn 2021/22	Target 2022/23	Outturn 22/23	Target 2023/24
		SUSTAIN - Con	servation	of the Natural an	d Historic Environmer	nt		
S2	Number of Listed Buildings 'years	at risk' conserved during the last 3	CV	1	1	1	1	1
S3	Number of scheduled monur conserved during the last 3 y	ments 'at high or medium risk' vears	AC	12	17	17	data to follow	17
S 7	Erosion sites	a) Number of known erosion sites	SL/RS	295	295	220	data to follow	to be determined
		b) % of known erosion sites stable or improving	SL/RS	No data	No data	75%	data to follow	to be determined
S10	% of income derived from so	urces other than National Park Grant	AS	19.33%	31.85%	30%	37.14%	38%
	% change in CO₂e from DNPA operations **(NB: Higher Uppacott was excluded in previous years)			Buildings: 100,843kg -24% Transport: 58,900kg -36.98%	Buildings: 123,586 kg 23 % Transport: 67977 kg 15 %	Buildings: 0% Transport: 0%	Currently reviewing how we measure/calculate	0% (target being reviewed as part of Climate Action Plan)
S11			AS	Overall: 191,564 kg 20 %	Overall: %	performance. Climate Action Plan report being considered by LT end of May 2023. Data for 22-23 will be reported in Q1 of 23-24	0% (target being reviewed as part of Climate Action Plan)	
S12	Number of working days lost due to sickness per Full Time Equivalent (FTE)	a) including long term absence	- NW -	1.67	4.17	5	11.16	7
		b) excluding long term absence		1.04	2.68	2	4.17	4
S13	% of enforcement cases resc	olved without the need for formal action	JA/NS/CB	95.20%	97%	90%	99.48%	90%

Ref No.		I we measure our chievement	Respon sible Officer	Outturn 2020/21	Outturn 2021/22	Target 2022/23	Outturn 22/23	Target 2023/24
S14	% of Membership attending A	Authority meetings	РВ	Authority: 90% Development Mgt:89% Audit & Gov'nce: 74% Overall attendance: 89%	Authority: 86% Development Mgt:86% Audit & Gov'nce: 81 % Overall attendance:86%	85%	Authority: 86% Development Mgt: 82% Audit & Gov'nce: 77% Overall attendance: 84%	85%
S16	% of planning applicants sati received	sfied with quality of the service	CH/JA	To end of March 2021: 73 responses - 55% rated experience of dealing with planning team as Very Good (further 11% Good)	70.40%	percentage of service users that rated the experience of dealing with planning as Good: 70%. Ongoing survey of service users - analysis to follow	No responses received from online survey of service users	75%
S17	% of appeals allowed against figure is positive)	DNPA decision to refuse consent (low	CH/JA	23.50%	34.7%	33%	28.57%	33%
		ENJOY - Promote a positive e	experienc	e of Dartmoor Nat	tional Park for Resider	nts and Visitors		
		a) Haytor	SH	10,300	32,954	52,000	39410	48,000
E1	Number of visitors to Visitor	b) Postbridge	SH	7,192	28,530	58,000	47539	55,000
	Centres at:	c) Princetown	SH	11,541	34,699	80,000	53867	65,000
		TOTAL:	SH	29,033	96,183	190,000	140,816	168,000
E2	% of total length of footpaths and other rights of way easy to use by members of the public (even though they may not follow the exact definitive line)			No data this year due to Covid-19	88.41%	90%	95.65%	90%

Ref No.	How will we machieve		Respon sible Officer	Outturn 2020/21	Outturn 2021/22	Target 2022/23	Outturn 22/23	Target 2023/24
E4	Number of litter bags collected by DN	NPA staff or volunteers	SL	232	431	no target set	557	no target set
E9	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)		NW	20	553.3 (6.6%)	400	103	400
E10	Number of large scale organised eve subsequently held on Dartmoor Natio (NB figures for large on road cycle "s consulted on, are shown in brackets)	onal Park sportives" that we are not	AW	No events took place due to to Covid restrictions	42	no target - record of trends	70	no target - record of trends
	number of people participating		AW	0	13,211	reduce number of very large events	12,303	reduce number of very large events
E11*	Public engagement events		СР	28 events (24,395 people)	75 events (2594) people)	135 events	110 events (4798 people)	135 events
		PROSPER - Work	towards	ensuring Dartmoo	or has a thriving econo	omy		
	within '	or applications determined 13 weeks *If over 13 weeks Nos As or Exts	СН	50.00%	0%	50%	100.00%	50%
P1		or applications determined 8 weeks	СН	53.20%	61.3%	65%	70.91%	65%
		er applications determined 8 weeks	СН	76.20%	71.4%	85%	82.22%	85%

Ref No		l we measure our chievement	Respon sible Officer	Outturn 2020/21	Outturn 2021/22	Target 2022/23	Outturn 22/23	Target 2023/24
	% of planning applications dealt with in a timely manner:	a) % of all planning applications determined which have been approved	СН	85.80%	91.2%	no target - success is positive decisions for Dartmoor	84.77%	no target - success is positive decisions for Dartmoor
P2		b) % of pre-applications for minor and householder applications which have been dealt with within 28 days	СН	69.56%	45.0%	80%	52.86%	80%
		c) % of pre-applications for major applications which have been dealt with within 42 days	СН	100%	Nil	70%	100.00%	70%
		a) Total number of volunteer days organised or supported by the NPA	NW	1520	8,417	9000 (including volunteer conservation groups grant aided by DNPA)	9626.70	9000 (including volunteer conservation groups grant aided by DNPA)
P3	Volunteer Days				£100/day	£100/volunteer day	£100/volunteer day	£100/volunteer day
		b) Value (expressed in £) of volunteer days	W (via NPI	£152,325	£841,700	£900,000	£962,670	£900,000
P5	Number of affordable housing units approved		AG	78	29	25	Overall figure to be reported at Q1 23-24	to be determinedf
		a) Followers on Social Media	SH	67,337	74,350	80,000	87,443	95,000
P9	Number of:	b) Subscribers to e-communications (running total)	SH	3,047	3,607	4,000	3981	4,500
		c) % opened	SH	44% [av]	36%	45%	44%	45%
P10	Number of unique visitors to website & page views			537,629/1,800,336	525,735 / 1,949,771	350,000 / 2,000,000	632,270/ 1,882,540	500,000 (data for unique visitors only)

Ref No.		II we measure our achievement	Respon sible Officer	Outturn 2020/21	Outturn 2021/22	Target 2022/23	Outturn 22/23	Target 2023/24
		% of Parish meetings attended at least once in the year	РВ		72%	80%	86%	80%
P11	Parish Meetings	a) Number of Parish meetings attended by Rangers / Officers	РВ		12	53	39	53
		b) Number of Parish meetings attended by Members	РВ		89	30	73	30
P12	DNPA attendance at Local shows	a) Number of shows attended	СР	0	3	18	15	18
F 12		b) Number of contacts made	СР	0	823	2,500	2901	2,500
P14	Donate for Dartmoor:		LT	£5,006	£17,120 (Does not include Moor Otter income)	Overall target: £30,000	£17,876	£15,000

Family Performance Indicators



NPA/AG/23/009

Dartmoor National Park Authority Audit and Governance Committee

26 May 2023

Strategic Risk Register

Report of the Head of Organisational Development

Recommendation: That Members approve the updated Strategic Risk Register attached at Appendix 2

1 Background

- 1.1 The Strategic Risk Register forms part of the Authority's overall risk management strategy.
- 1.2 The purpose of risk management is to increase the likelihood that the Authority will achieve its key objectives, as set out in the Business Plan, whilst avoiding financial loss, damage to service reputation, or prejudice to continued effective service provision. This involves systematically:
 - identifying risks
 - evaluating exposure to the risks identified
 - assessing the control measures in place to deal with the risks; and
 - managing those risks in a planned way
- 1.3 Risk management has the following aims:
 - protect service delivery and its quality
 - protect the reputation and image of the organisation
 - ensure the security of the organisation
 - secure earning capacity and funding
 - secure the wellbeing of employees and service users
 - ensure the integrity and resilience of information systems
 - ensure probity and ethical conduct
 - avoid criminal prosecution and civil litigation
 - avoid financial loss, fraud, or corruption
 - inform and enhance performance management

2 Strategic Risk Register

- 2.1 The Authority's Strategic Risk Register provides a structured approach to:
 - identifying the risks that may stop the Authority from achieving its objectives
 - assessing the probability and impact of those risks
 - agreeing preventative or remedial actions to ensure that such risks are reduced to an acceptable level

3 Risk Identification & Evaluation

- 3.1 As part of the risk management strategy it is important that Members review the strategic risks, raise issues for further consideration and highlight possible areas of risk for addition or deletion.
- The Authority adopted a new Risk Management Policy on 6 January 2023 [NPA/23/003]. A copy is provided at Appendix 1.
- 3.3 The Risk Management Policy sets out (at section 22) how identified risks are scored against the likelihood of their materialising and for their impact if they did materialise.
- 3.4 Appendix 2 contains the updated Strategic Risk Register for 2023/24 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 control measures that are in place to manage the risk and provide a current "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).
- 3.5 The risk ratings (current and planned) are scored and colour coded as follows:

	Very Severe Risk	Risks are those which cause most concern: their materialisation would have a potentially disastrous impact on the Authority's reputation or business continuity; immediate and comprehensive action would be required.
	Severe Risk	Risks are also of significant concern and should be covered by contingency plans: their materialisation would be severe but not disastrous, and some immediate action would be required, along with the development of an appropriate action plan.
	Material Risk	Risks have consequences that are not severe, and which can be managed by contingency plans and more detailed action plans which can be developed later. But such risks still need regular monitoring.

Manageable Risk

Risks are those that are inherent in most activities; the consequences of their materialising are generally not important enough to affect the whole business, and they can be managed during delivery. The status of such risks will be reviewed periodically.

3.6 Leadership Team monitors and reviews the Strategic Risk Register on a quarterly basis to ensure we are clear about potential risks and how we might mitigate these.

The Register has been updated considering changing circumstances with the following specific change highlighted:

- S7 new strategic risk added relating to the Natural Flood Management project.
- 3.7 The Register has four categories of risk: Performance, Strategy, Finance and Governance and the table below summarises the risks and residual risk ratings with further details provided in Appendix 2:

Risk Ref	Risk Description	Planned Residual Risk
PERF		
P1	Ineffective internal communication	Severe Risk
P2	Inadequate external communication/community engagement	Severe Risk
P3	Inadequate Info Management/Business Continuity Planning.	Severe Risk
P4	Inadequate focus on Performance Management	Material Risk
P5	Lack of support to deliver actions in the Partnership Plan	Material Risk
P6	Failure to determine major planning applications < 13 weeks	Severe Risk
STRAT	EGY	
S1	Failure to implement culture of risk assessment/management	Material Risk
S2	Emergencies affecting DNPA land/buildings or activity	Material Risk
S3	Managing officer workload	Severe Risk
S4	Workforce planning and resilience	Severe Risk
S5	Farming in Protected Landscapes	Material Risk
S6	Review of Byelaws	Material Risk
S7	Natural Flood Management	Severe Risk
FINAN	CE	
F1	Potential for further reductions in National Park Grant	Severe Risk
F2	Inadequate financial management	Material Risk
F3	Appeals, Public Enquiries and enforcement action	Material Risk
GOVE	RNANCE	
G1	Fraud & Corruption	Manageable Risk
G2	Inadequate procurement practice	Material Risk
G3	Inadequate management of partnerships and projects	Severe Risk
G4	Inadequate decision-making process and documentation	Material Risk
G5	Failure to implement new or changes to legislation or policy	Material Risk

- 3.8 Members are invited to discuss and approve the register, subject to any amendments Members may wish to make.
- 3.9 The Strategic Risk Register is reported to the Audit & Governance Committee in May and November each year.

4 Equality and Sustainability Impact

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

5 Financial Implications

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

6 Recommendation

6.1 Members are invited to discuss and approve the register, subject to any amendments Members may wish to make.

NEIL WHITE

Attachments: Appendix 1 – Risk Management Policy
Appendix 2 – Strategic Risk Register 2023/24



Dartmoor National Park Authority

RISK MANAGEMENT POLICY

- 1. Dartmoor National Park Authority is committed to an effective process of business risk management and has a requirement to maintain and keep under review adequate arrangements for managing those risks which threaten the Authority's ability to deliver services in the most efficient, effective, and economic way, and to achieve value for money. The Authority therefore needs to ensure that a process exists for identifying, analysing, and managing any risk or threat to the organisation or its resources, including ensuring that those resources are protected from the risk of loss, damage, or misuse.
- 2. The purpose of risk management is to increase the likelihood that the Authority will achieve its key objectives, as set out in the Business Plan, whilst avoiding financial loss, damage to service reputation, or prejudice to continued effective service provision. This involves systematically:
 - identifying risks
 - evaluating exposure to the risks identified
 - assessing the control measures in place to deal with the risks; and
 - managing those risks in a planned way
- 3. Risk management has the following aims:
 - protect service delivery and its quality
 - protect the reputation and image of the organisation
 - ensure the security of the organisation
 - secure earning capacity and funding
 - secure the wellbeing of employees and service users
 - ensure the integrity and resilience of information systems
 - ensure probity and ethical conduct
 - avoid criminal prosecution and civil litigation
 - avoid financial loss, fraud, or corruption
 - inform and enhance performance management
- 4. Risk management is the responsibility of the Chief Executive and of the whole Membership of the Authority, who together have a responsibility to maintain a sound system of internal control that supports the achievement of the Authority's policies, aims and objectives, and to exercise strong stewardship to safeguard public funds and assets. Each year the Chief Executive and the Chairman are required to make an Annual Governance Statement, which forms part of the public reporting process alongside the annual accounts. The Audit & Governance Committee also has an important role to play in risk management, as set out in paragraph 11.

RISK MANAGEMENT PRINCIPLES

- 5. This policy outlines the key aspects of the risk management process, which are:
 - Roles and responsibilities
 - Organisational structure
 - · Risk identification and evaluation
 - · Recording and monitoring
 - · Awareness and training; and
 - Evaluation of the effectiveness of risk management arrangements
- 6. Risk management must operate throughout the organisation, and be embedded in processes such as business planning, target setting, performance management and staff appraisal. The extent to which this is achieved will be monitored under the evaluation arrangements described in this policy.
- 7. All reports to the Authority or its committees will include a section which summarises the main risks associated with the subject matter of the report, but only wherever a material risk is associated with the content of that report.
- 8. The objective of risk management is not to eliminate risk, but to reduce it to an acceptable and cost-effective level. The approach to managing any particular risk may be (or include elements of) acceptance, reduction, elimination, or transfer of the risk. This is arrived at by the application of the manager's knowledge and expertise, and by determining the level of risk which is acceptable in meeting the organisation's business objectives. The Chief Executive and Members should be comfortable that their assessment of the acceptance of residual risk aligns with the manager's evaluation.
- 9. Whilst managers evaluate controls through a process of self-assessment, the organisation also has a number of assurance activities and providers, which give independent assurance upon the effectiveness and on-going evaluation of the internal control environment, including:
 - External Audit
 - Internal Audit
 - the Audit & Governance Committee.
 - inspections relating to various health and safety matters, including our premises, for example fire safety

ROLES AND RESPONSIBILITIES

- 10. Overall responsibility for risk management rests with the Authority and with the Chief Executive.
- 11. The Authority has delegated to its Audit & Governance Committee specific roles in relation to the monitoring and review of the effectiveness of the system of internal controls. In particular, the Audit & Governance Committee has been designated as a forum to review the adequacy of the arrangements for corporate governance and risk management. The Audit & Governance Committee also considers the annual internal and external audit plans (and any audit reports deriving from these) and seeks to ensure that they constitute an adequate programme, which addresses most of the main risks facing the organisation.

- 12. At Senior Officer level, the Monitoring Officer is designated as the officer who will lead on issues of corporate governance, and the Head of Business Support on risk management, both posts providing advice arising from actions to minimise risks. They will work closely together to achieve co-ordination of these key corporate processes.
- 13. The Leadership Team (LT) is responsible for implementing this policy, and for:
 - compiling and maintaining the Authority's Strategic Risk Register
 - identifying and evaluating new risks
 - encouraging good practice and a culture of risk management throughout the organisation
- 14. Line Managers also have a vital role to play, both in identifying and managing risks within their sphere of responsibility, and in contributing to the process of risk management for the organisation.
- 15. Finally, all staff need to be aware of the risk management approach and processes at an operational level, so that they can contribute their own ideas and experience to the process of identifying and managing risk.

RISK REGISTERS AND THE RISK MANAGEMENT PROCESS

- 16. Risk registers provide a structured approach to:
 - identifying the risks that may stop the Authority from achieving its objectives
 - assessing the probability and impact of those risks
 - agreeing preventative or remedial actions to ensure that such risks are reduced to an acceptable level
- 17. Risk registers help managers and other officers to understand the concepts around risk management and to see the links to service delivery, and to individual performance management objectives. They also provide a focus for managers to discuss their concerns in delivering service objectives and how specific risks can be overcome.
- 18. The Authority's Risk Management process is structured hierarchically and in a way that demonstrates:
 - to our 'Business Plan' audience that we are aware of, and have plans to manage, the risks that could otherwise undermine the delivery of our business priorities
 - to Audit & Governance Committee members that we have an active process of identifying and managing 'higher level' or strategic risks (a Strategic Risk Register).
 - to other 'specialist' audiences (e.g., our insurance brokers, concerning insurable risks; trade unions, concerning health and safety risks that might affect their members), that we have a detailed but appropriate approach to all the various components of risk, which also can be found within the Strategic Risk Register (working document) which holds specific details about controls
 - to our auditors (and other external audiences), that we have a comprehensive approach.
- 19. All staff use their experience and ideas to inform line managers about risks which they encounter in their day-to-day work. Line managers use this information and their other experience to assess risks for their areas of responsibility, which they discuss in

supervision meetings with their managers. Senior managers assess this information, and advise LT whether changes are needed to the Authority's Strategic Risk Register and risk management plans. Developing issues in terms of the main risks facing the organisation, the changing risk profile, and the steps taken to manage risks are communicated to the Audit & Governance Committee.

- 20. The Authority determines the Business Plan, in the preparation of which the main risks facing the Authority will be considered, and from which can be derived the business objectives which form the starting point for risk analysis and management. The Authority may also issue instructions to the Audit & Governance Committee about matters related to internal control and risk management which it wishes the Committee to examine. The Audit & Governance Committee gives advice to LT in relation to the issues referred to it, and in the light of the Authority's views. The decisions of LT in relation to the Strategic Risk Register are fed back by senior managers to line managers; and both at this level and between line managers and front-line staff, appraisal targets will reflect decisions about the control of risks.
- 21. This information and decision flow process encompasses the role of the Chief Executive (who is an adviser to the Authority and to the Audit & Governance Committee, and who 'line manages' LT). The key outputs from the process are as described in paragraph 18, and which in turn feed into the Annual Governance Statement.

RISK IDENTIFICATION AND EVALUATION

22. The process for identifying risks has been described in the preceding section. All identified risks are scored against the likelihood of their materialising and for their impact if they did materialise. The next three tables describe this scoring system: Table 1 identifies the 'likelihood' criteria, Table 2 the 'impact' characteristics, and Table 3 combines these two factors to give an overall classification ranging from 'Very Severe' to 'Manageable'.

Table 1

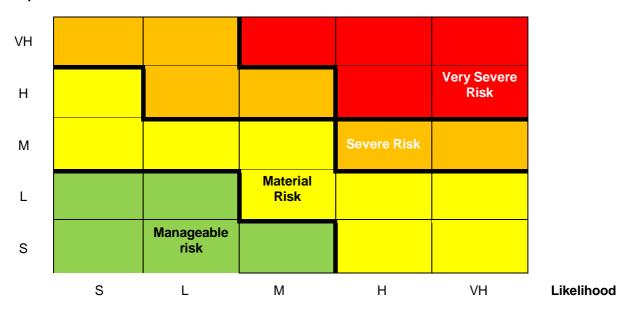
Risk Likelihood Ratings	
Probability	Criteria
Small	0-5% (extremely unlikely to occur)
Low	6-20% (unlikely but not impossible to occur)
Medium	21-50% (fairly likely to occur)
High	51-80% (more likely to occur than not)
Very High	>80% (almost certain to occur)

Table 2

Risk Impact Ratings	
Probability	Characteristics
Small	Minimal loss, delay, inconvenience, or interruption. Easily and quickly resolved
Low	Minor loss, delay, inconvenience, or interruption. Short to medium term effect
Medium	Significant waste of time and resources. Impact on operational efficiency, output, and quality. Medium term effect which may be expensive to recover
High	Major impact on costs and objectives. Serious impact on output and/or quality and reputation. Medium to long-term effect and expensive to recover.
Very High	Critical impact on the achievement of objectives and overall performance. Huge impact on costs and/or reputation. Very difficult and possibly long-term to recover

Table 3

Impact



23. Table 3 identifies four classes of risk:

- Very Severe Risks are those which cause most concern: their materialisation
 would have a potentially disastrous impact on the Authority's reputation or business
 continuity; immediate and comprehensive action would be required.
- **Severe** Risks are also of significant concern and should be covered by contingency plans: their materialisation would be severe but not disastrous, and some immediate action would be required, along with the development of an appropriate action plan.
- **Material** Risks have consequences that are not severe, and which can be managed by contingency plans and more detailed action plans which can be developed later. But such risks still need regular monitoring.
- Manageable Risks are those that are inherent in most activities; the consequences
 of their materialising are generally not important enough to affect the whole
 business, and they can be managed during delivery. The status of such risks will be
 reviewed periodically.
- 24. Agreeing the scoring of risks is the responsibility of LT, subject to any advice from the Audit & Governance Committee. In determining the likelihood of a risk occurring, all factors, including existing control mechanisms, will be considered.

RECORDING AND MONITORING

- 25. The Head of Organisational Development will maintain the Strategic Risk Register (paragraph 18). These registers will record the assessment made from time to time by LT of what risks exist that need to be recorded in this way; for each risk, information will be included as to its significance and what existing controls are in place.
- 26. Where it is identified that the processes in place are insufficient to manage a particular risk to an acceptable level, then an action plan for addressing the risk will be prepared. This will identify which senior manager is responsible for this action; a date for completion of the action; and a date for review of the risk.

- 27. LT will formally review risk management at least annually and whenever events require. Such events will include any major issues that have arisen since the last review, including any relevant findings from performance improvement or major project reviews. LT will consider whether any risks should be added to, or removed from, the risk register, or whether their classification, in relation to impact and/or likelihood, should be changed. The Strategic Risk Register working document will be maintained as a 'live' document and will be updated by LT members as appropriate.
- 28. The Audit & Governance Committee will receive an annual report on Risk Management (see paragraph 30). The Committee may decide that a special report or recommendations of the Committee require the Authority's attention at any time.

AWARENESS AND TRAINING

29. This policy is accessible to all Authority Members and to all employees of the Authority. The Authority is committed to a process of raising awareness in this area and requires LT to ensure that all officers have an appropriate understanding of this policy.

EVALUATION OF EFFECTIVENESS

- 30. The Audit & Governance Committee will, on an annual basis (at their autumn meeting), evaluate the effectiveness of the arrangements for risk management. This evaluation will be based on a report to the Committee, which will address the following issues:
 - the latest Annual Governance Statement, and any issues arising from it
 - whether Audit and Inspection reports received since the last annual evaluation highlight any strengths or weaknesses
 - any major incidents which have occurred since the last evaluation
 - any developments in good practice in this area; and
 - the extent to which risk management is embedded in organisational processes

This report will include a copy of the Strategic Risk Register.

SUMMARY OF RESPONSIBILITIES

31. **The Authority** will:

- determine the annual Business Plan, taking account of the key risk issues facing the Authority's priorities
- receive an annual report in relation to the adequacy of risk management arrangements, forming part of the Annual Governance Statement
- consider appropriate risk assessments in relation to all items of business coming before it

32. The Audit & Governance Committee will:

- approve and keep up to date this Risk Management Policy
- understand the main risks facing the organisation, and satisfy itself that those risks are appropriately controlled
- review the adequacy of arrangements for risk management within the

- organisation
- consider the annual external and internal audit plans, seeking to ensure that there is an adequate programme which addresses those of the main risks facing the organisation which it is the Authority's power to control
- make periodic reports to the Authority, as and when appropriate, upon the status of the control environment

33. The Chief Executive will:

- publish annually an Annual Governance Statement, summarising the effectiveness of the Authority's internal controls, and state how this is underpinned through the process of identifying objectives and key risks
- provide leadership in relation to the implementation of this policy
- ensure that LT takes responsibility for implementing this policy, and plays its role in relation to the compilation and maintenance of the Strategic Risk Register

34. The Head of Business Support will:

• lead on the process of risk management within the organisation as a whole

35. The Head of Organisational Development will:

- maintain the Strategic Risk Register for the organisation
- report to the Audit & Governance Committee upon the changing status of risks and the controls adopted, as appropriate
- present an annual evaluation report to the Audit & Governance Committee
- as directed by LT, seek to raise awareness, and provide training, to improve understanding of risk management within the organisation

36. All Senior Managers will:

- take responsibility for managing specific risks as allocated by the Strategic Risk Register – including developing and implementing action plans
- collectively (as LT) implement this policy, and take decisions on the identification and analysis of strategic and operational risks
- encourage good practice and a culture of risk management at all levels of the organisation
- set objectives and targets for their staff in the light of the main risks facing the organisation
- perform a key link role between LT and line management, to ensure that there is a two-way flow of information and experience
- ensure that detailed operational risks are covered as a matter of routine by officers responsible for the areas of work such risks affect

37. All Line Managers will:

- be aware of the risks identified in the Strategic Risk Register and alert Senior Managers or LT to any new risks or changes to existing risks
- discuss the risks affecting a particular service with the officers concerned as a matter of routine management, and not least as part of the annual appraisal process, within which actions may be set that are intended to manage down any operational risk

• feed ideas and information to their managers in relation to risk issues

38. All staff will:

- identify risks to their everyday work, and report on these to their line manager
- report to their line manager on the performance of objectives and targets set for them.

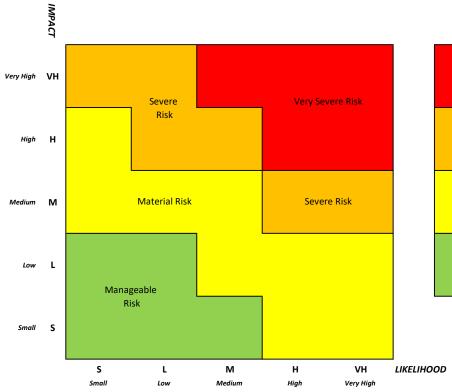
DOCUMENT HISTORY

Revision No.	Originator of change	Date of change	Change Description
1.	Angela Stirland		New policy drafted, to be presented to Authority for adoption on 06/01/23

RISK DESCRIPTION: PLANNED RISK RATING: Performance: LT Lead **P1** Ineffective internal communication Severe Risk NW **P2** Inadequate external communication and community engagement Severe Risk SH $\underline{\textbf{Inadequate Information Management and Information Technology System failure. \ Inadequate}$ Р3 Severe Risk AS **Business Continuity Planning.** Ρ4 Inadequate focus on Performance Management (including customer service) **Material Risk** Lack of support and resources from partners/stakeholders to deliver on the actions in the **P5 Material Risk** ΚB Partnership Plan Р6 Failure to determine major planning applications within the set Government target of 13 weeks Severe Risk NW Strategy: S1 Failure to implement a robust culture of risk assessment and risk management. Material Risk NW **S2** Emergencies affecting land or buildings owned or leased by DNPA or operational activity **Material Risk** AS Managing officer workload. Our challenge will always be to ensure we set realistic work **S3** Severe Risk NW programmes but also improve organisational 'productivity' Workforce planning/resilience: limited capacity to cover for absences of key posts. Difficulty to Severe Risk ΚB **S4** recruit to certain posts. The risk derives primarily from the lack of core funding and the inherent problem of retaining staff on fixed term contracts Farming in Protected Landscapes (FiPL): risks associated with Authority's decision to participate **S5** Material Risk RD in FiPL programme **S6** Review of byelaws with respect to access land in Dartmoor National Park Material Risk RD RD **S7 Natural Flood Management** Severe Risk Finance: Potential for reductions in National Park Grant (NPG) and / or changes in Defra's requirements F1 Severe Risk ΚВ via the National Parks Financial Grant Agreement) F2 Inadequate financial management Material Risk AS Appeals, Public Enquiries and enforcement action could expose the Authority to considerable F3 Material Risk NW financial risks and create poor PR Governance: G1 Fraud & Corruption Manageable Risk AS G2 **Material Risk** AS Inadequate procurement practice G3 Inadequate management (and success) of partnerships and projects Severe Risk RD G4 Inadequate decision-making process; inadequately documented decision-making process **Material Risk** NW Changes in legislation/failure to implement new legislation or policy G5 Material Risk ΚB

Go to KEY

Go to Dashboard



	Very Severe Risk	Risks are those which cause most concern: their materialisation would have a potentially disastrous impact on the Authority's reputation or business continuity; immediate and comprehensive action would be required.
	Severe Risk	Risks are also of significant concern and should be covered by contingency plans: their materialisation would be severe but not disastrous, and some immediate action would be required, along with the development of an appropriate action plan.
	Material Risk	Risks have consequences that are not severe, and which can be managed by contingency plans and more detailed action plans which can be developed later. But such risks still need regular monitoring.
	Manageable Risk	Risks are those that are inherent in most activities; the consequences of their materialising are generally not important enough to affect the whole business, and they can be managed during delivery. The status of such risks will be reviewed periodically.

IMPACT

Small
Low
Minimal loss, delay, inconvenience, or interruption. Easily and quickly resolved
Minor loss, delay, inconvenience, or interruption. Short to medium term effect
Medium
Significant waste of time and resources. Impact on operational efficiency, output, and quality. Med

Significant waste of time and resources. Impact on operational efficiency, output, and quality. Medium term effect which may be expensive to recover Major impact on costs and objectives. Serious impact on output and/or quality and reputation. Medium to long-term effect and expensive to recover.

Critical impact on the achievement of objectives and overall performance. Huge impact on costs and/or reputation. Very difficult and possibly long-term to recover

LIKELIHOOD

Very High

High

Small extremely unlikely to occur

Low unlikely but not impossible to occur

Medium fairly likely to occur

High more likely to occur than not

Very High almost certain to occur

P1: INEFFECTIVE INTERNAL COMMUNICATION

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
NW	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 communication/diary catch up. Messages are then disseminated as appropriate. Key messages are communicated by email to all staff. Quarterly Senior Managers Meeting introduced in 2022. Monday Message (email) provides regular communication from Chief Executive to all staff and Members. "Golden thread" linking Partnership Plan and Business Plan with individual appraisals & 1:1s. Annual Team Dartmoor Day and individual Team Dartmoor days. Regular team meetings (via Teams as required/appropriate) MS Teams training provided to all staff (Spring 2022) Intranet & website Regular briefings to Members and two officer/Member working panels (via Teams as required/appropriate). Video conferencing facilities essential tools for internal/external comms supported by investment in new laptops and mobile phones.	Medium	High	Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Organisational Development Strategy "Developing Team Dartmoor" has a specific focus on improving internal communication and employee engagement. Staff survey undertaken every two years (last completed in 2019; next survey planned in 2023) with focus on employee engagement. Effective staff induction process in place. Communication methods constantly reviewed and mixture of written, online and face to face utilised. Ongoing engagement with staff and managers regarding future working arrangements, including flexible working.

RESOURCES REQUIRED:

Staff & Member time is needed to participate fully.

	RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Low	High	Severe Risk

OUTCOME:

Ensure staff can 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

P2: Inadequate external communication and community engagement

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
SH	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 and key decsions not supported as no 'buy-in' from stakeholders	Communications strategy implemented through developing a forward plan. Supporting communication tools include: Media briefings & releases Authority publications Authority Website Variety of forums Social media, films, and targeted e-newsletters Surveys Outreach and Engagement strategy developed with several projects and initiatives highlighted to target engaging with communities and key underrepresented groups Two Community Engagement Rangers retained with external funding continuing engagement with new audiences	Medium	High	Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Communications and community engagement are priorities for the Authority. There is a communications a forward plan to develop proactive comms and to manage reputational issues, alongside outreach and community engagement that helps reach our target audiences.

Increased presence at Parish meetings and local special interest groups. Need to consider process for briefing in advance of the meetings and how we feedback after the meetings. Content is supplied to Members to share with parish/community magazines/newsletters.

Regular news releases, columns in local publications and social media posts. Monitoring of reach and enagement with social media, along with comments and feedback. Quarterly newsletter Moor Life to improve awareness and understanding of our work.

We are continuing to use a mix of digital and 'real world' communication to engage and inform.

RESOURCES REQUIRED:

Staff time will be needed to communicate and engage with residents and prepare materials and content. The Communications Team has been reduced though the Business Review and so there is more of an expectation on all staff to take responsibility for communication with stakeholders.

	RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Meduim	Medium	Severe Risk

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 can contribute and feel valued

Go to KEY Go to DASHBOARD

P3: Inadequate Information Management and Information Technology System failure. Inadequate Business Continuity Planning.

			RISK RATING		
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
AS	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 systems and data backed up daily and copies stored off-site. Document Management System implemented for electronic storage of paper records. Disaster Recovery Plan in place, and critical elements tested Alternate venues/home working available in the event of loss of office accommodation Virtualised servers and desktops speed up recovery times Security patches and upgrades regularly applied to the firewall and virtual servers External penetration testing of security systems carried out quarterly to ensure system integrity A Planning system has been implemented – the project had some delays due to issues discovered during user acceptance testing, which have now been fixed. The staff are continuing to learn process etc. within the new system and this will take time.	Low	Very High	Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Appointment of the new Head of ICT has provided an opportunity for review and identify any actions with the Auhtority's IT systems and to move the systems and security of those systems forward.

RESOURCES REQUIRED:

Staff Time / Funds for new ICT hardware and software				
	RISK RATING			
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Low	High	Severe Risk	

OUTCOME:

Continuous business efficiency in the event of systems failure or major emergency affecting operational buildings

P4: INADEQUATE FOCUS ON PERFORMANCE MANAGEMENT (INCLUDING CUSTOMER SERVICE)

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
NW	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 dashboards and Staff Appraisal Scheme (updated for 2023/24) Audit & Governance Committee with clear remit to monitor and challenge performance. Suite of Pls that are focused on delivering against the Business Plan Parke House Project Management and staff trained maintaining focus on effective project management Robust and highly visible process for monitoring of key actions in the Business Plan. Detailed and thorough performance reporting and analysis by Leadership Team and Audit & Governance. Performance Improvement Policy Customer Service Standards Lessons learnt from complaints	Medium	Medium	Material Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Audit recommendation for Members who sit on the Audit & Governance Committee to carry out a self-assessment exercise is being considered, subject to staff capacity. Review internal project management

Financial training for budget holders/senior managers

RESOURCES REQUIRED:

Staff time

		RISK RATI	NG
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Low	Medium	Material Risk

OUTCOME:

Good performing organisation, with evidence of continuous improvement

P5 : LACK OF SUPPORT AND RESOURCES FROM PARTNERS / STAKEHOLDERS TO DELIVER ON THE ACTIONS IN THE PARTNERSHIP PLAN

			RISK RATING		
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
КВ	Partnership Plan actions not undertaken Ambitions not delivered	Extensive engagement with partners and stakeholders in development of the current Partnership Plan (National Park Management Plan). Resources to deliver are going to be a challenge given uncertainty over public spending and the impact of COVID on charitable partners. The current uncertainty over the new Environmental Land Management scheme adds another risk factor. Dartmoor's Dynamic Landscapes granted round one development funding, in partnership with others, from the National Lottery Heritage Fund. This provides an important source of funding to help deliver the vision and actions in the Partnership Plan.	High	Medium	Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Reviewing governance arrangements for the Partnership Plan in 2023 State of the Park Report being developed to help monitor impact

RESOURCES REQUIRED:

		RISK RATI	NG
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Medium	Medium	Material Risk

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

P6: FAILURE TO DETERMINE MAJOR PLANNING APPLICATIONS WITHIN THE SET GOVERNMENT TARGET OF 13 WEEKS

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
NW	measures. The risk is therefore that the Authority could lose its ability to deal with applications resulting in a	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 are realistic about timescale on framework, particularly if legal work is required. Use of tablets/technology to reduce reliance on paper plans and improve our effectiveness. New planning system implemented – live from October 2022 Recruitment and retention of Planning Officers is a challenge for all local authorities	Medium	High	Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Monitor structure for Planning Service to provide effective leadership and management.

Invest in development of Development Management team (e.g. Chartered Town Planning Apprenticeship); introduce apprentice to Planning Administration team.

Engage effective agency planning officers to support team, subject to budget

Appointed to posts in Development Management and Enforcement to maintain capacity at officer level. Service level agreement for provision of legal services in place.

RESOURCES REQUIRED:

Staff time			
	RISK RATING		NG
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Low	High	Severe Risk

OUTCOME:

Major applications are dealt with in a timely way

The performance agreement will allow time to be taken to achieve a quality outcome

S1: FAILURE TO IMPLEMENT A ROBUST CULTURE OF RISK ASSESSMENT AND RISK MANAGEMENT

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
NW	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 (adopted January 2023) Risks monitored by A&G and Leadership Team. Corporate Risk Management Steering Group (Leadership Team). Operational Risk Management via work programmes/projects. Internal and External Auditors base their work / review programmes on a Risk Based approach Annual Governance Statement following review of all governance arrangements. Health, Safety & Wellbeing Committee SLA with TDC to provide operational and strategic H&S support and compliance. Risk assessment training provided regularly to relevant officers and further training available. H&S briefing provided at induction. Procurement training delivered in February 2023	Low	Medium	Material Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Ongoing financial management training for budget holders/senior managers provided by Head of Business Support

RESOURCES REQUIRED:

None

None.			
		RISK RATI	NG
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Low	Medium	Material Risk

OUTCOME:

Risk based approach embedded in culture of the organisation.

All risks effectively managed.

S2: EMERGENCIES AFFECTING LAND OR BUILDINGS OWNED OR LEASED BY DNPA OR OPERATIONAL ACTIVITY

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
AS	of disease. Denial of access to key	Emergency Planning. Close working relationship with police and other emergency services Staff awareness training (induction training). ICT Disaster Recovery plan, H&S, Lightning Protection, Fire Regulations (including regular testing of fire systems), etc. Alternate venues/home working available in the event of loss of office accommodation. Robust maintenance programme and risk assessments for operational property	Small	High	Material Risk

ADDITIONAL CONTROL MEASURES PLANNED:

This is a risk which is difficult to control, but is considered relatively low risk.

RESOURCES REQUIRED:

		RISK RAT	ING
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Small	High	Material Risk

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

S3: MANAGING OFFICER WORKLOAD.

Our challenge will always be to ensure we set realistic work programmes but also improve organisational 'productivity'			RISK RATING		
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
NW	Failure to deliver corporate objectives. High stress levels and staff absence. Targets/improvement not achieved Staff unclear of roles & responsibilities in new structure	Officers (particularly middle managers) fully involved in developing the Authority's Business Plan and shaping work programmes HR Policies; Business Plan, Appraisal process – identifying clear priorities and work programmes for individuals, teams, and the Authority as a whole – through manager and staff engagement. Implementation of the OD Strategy. Good internal communications/staff survey /feedback channels/liaison with representatives. Support managers and focus on developing management skills. Proactive attendance management; provision of Employee Assistance Programme; OH service. Quarterly review at LT identifying pressure points and where additional support may be required. Provision of Project Fund within the budget to enable in-year bids for additional resource.	Medium	Very High	Very Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Agile Working Policy is being developed to enable and support effective performance, whenever and wherever, it is undertaken. Business Review outcomes are being carefully monitored to consider impact on officer workloads.

RESOURCES REQUIRED:

Staff time and resources to deliver an effective programme				
		RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Medium	High	Severe Risk	

OUTCOME:

Well informed, motivated workforce

Effective leadership

Appropriately supported and trained staff

S4: WORKFORCE PLANNING / RESILIENCE:

54. WORK! ORCE ! EARWING / RESILENCE :						
Limited capacity to cover for absences of key posts. Difficulty to recruit to certain posts. The risk derives primarily from the lack of core funding and the inherent problem of retaining staff on fixed term contracts		RISK RATING				
LEAI	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD IMPACT RESIDUAL RISK RATIN			
KE	Service pressures could lead to 'bad' decisions and high stress levels	Active staff management and support through a mixture of: • Project Fund enabling flexibility to buy-in support as required • Staff support e.g., Occupational Health, EAP; counselling etc. • Increased joint working with other Local Authorities and partners • Some SLAs are in place (Finance, ICT, Payroll, H&S, Legal) • LT regularly review workforce planning and impact of staff absence • LT strategic meetings consider future work programmes / direction of travel • Effective performance and absence management policies and practices	High	High	Very Severe Risk	

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. Difficulty in recruiting to some roles has placed additional pressure on some teams.

Business Review carefully considered workforce planning and resilience. Leadership Team will continue to monitor outcomes/impact of Business Review.

RESOURCES REQUIRED:

Staff time and resources to deliver an effective programme. May need external support				
	RISK RATING			
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Medium	High	Severe Risk	

OUTCOME:

Well informed, motivated workforce
Effective leadership

Appropriately supported and trained staff

S5: Farming in Protected Landscapes (FiPL): risks associated with Authority's decision to participate in FiPL programme

				RISK RATING		
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING	
RD	Lack of applications Staff resource Link with existing agrienvironment schemes Financial risk as the accountable body Local Assessment Panels (LAP)	Effective local communication and engagement Project Manager appointed; seeking dedicated project officer; work programmes reviewed Process checked with Rural Payments Agency Natural England involved in Local Assessment Panel Ensure National Framework works with internal governance arrangements. Clear governance arrangements required at protected landscape level Establish terms of reference in line with Defra's expectations for LAPs, particular care regarding "conflicts of interest"; careful consideration of appointment to LAP; training/guidance for panel members. Need to monitor behaviour and performance of Panel members to ensure probity	Medium	High	Severe Risk	

ADDITIONAL CONTROL MEASURES PLANNED:

Project Manager to focus on strategic delivery of the programme – to include finance and performance management. Changes and risk to delivery identified early. Risk to be continually monitored. Local Assessment Panel to meet regularly to consider applications promptly.

RESOURCES REQUIRED:

Staff time and financial resources				
	RISK RATING			
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Medium	Medium	Material Risk	

OUTCOME:

Prompt action when delays or new risks identified resulting in successful delivery of the programme. Effective support from Leadership Team

Go to KEY Go to DASHBOARD

S6 : Re	S6: Review of byelaws with respect to access land in Dartmoor National Park						
NB. key ris	8. key risks and full detail of mitigation measures are set out in Authority report dated 9 July 2021 RISK RATING			ING			
LEAD	CONSEQUENCE IF	CONTROL MEACURES TO MANAGE DISK	LIKELIHOOD	INADACT	DECIDITAL DICK DATING		
LEAD	NO ACTION	CONTROL MEASURES TO MANAGE RISK	%	IMPACT	RESIDUAL RISK RATING		
	Reputational risk that the	Clear communications through all stages					
	Authority is perceived to be	Full public consultation and updates during review					
RD	'anti visitor'	Thorough and considered approach to responses received through the consultation	High Very High	Very Severe Risk			
, KD	Legal risk of challenge of the	Process agreed with legal advisers		very nign	very severe Risk		
	process	Defra advice requested at start of the consultation period as well as during the update and					
	Staff resources	review					

ADDITIONAL CONTROL MEASURES PLANNED:

Project timeline assessed to ensure officer time (including legal support) allocated to fully assess the responses to the consultation and make any changes to the revised byelaws before taking further report to Authority and completing the process.

Pro-active communications

RESOURCES REQUIRED:

Officer time and support from legal advisers				
		RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Medium	Medium	Material Risk	

OUTCOME:

Revised byelaws are proportionate and deliver against objectives.

S7: N	S7: NATURAL FLOOD MANAGEMENT						
			RISK RATING				
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD	IMPACT	RESIDUAL RISK RATING		
	Failure to meet Partnership Plan objectives. Reputational damage if projects not delivered or not delivered on time. Potential impact on staff retention and recruitment. Failure of partnership arrangement. Financial concern if lack of match funding available for National Lottery funding programmes.	Clear terms of reference, agreed objectives and outcomes, roles, responsibilities, and exit strategies with regular review. Consistent internal and external communications Regular 1:1s and appraisals with staff and also updates from partners. Regular meetings between senior managers from both organisations.	Medium	High	Severe Risk		

ADDITIONAL CONTROL MEASURES PLANNED:

Scheduled meetings and clear timeline with milestones for delivery.

RESOURCES REQUIRED:

Senior staff time to monitor progress; communication strategy				
		RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Low	High	Severe Risk	

OUTCOME:

Robust, well managed partnership that helps to deliver Business Plan and National Park Management Plan objectives as well as ensure delivery of National Lottery Heritage fund Programme.

Go to KEY Go to DASHBOARD

F1 : Po	-1: Potential for reductions in National Park Grant (NPG) and / or changes in Defra's requirements via the					
Nation	ational Parks Financial Grant Agreement)		RISK RATING			
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING	
КВ	Insufficient funds to meet statutory requirements and delivery of National Park Purposes. Failure to meet Performance Targets A new National Parks Financial Grant Agreement has been put in place by Defra for all NPAs; the addition of a new clause allowing Defra to alter its requirements (of NPAs) may risk the Authority's ability to exercise complete independence and fulfil its business plan objectives	The Authority completed a Business Review during 2022/23 to reduce costs/increase income. Proposal to establish a charitable trust as a vehicle for income generation in support of National Park purposes. Robust level of Reserve Balances maintained. Strong budget management and procurement performance and evidence of using resources efficiently and effectively	Very High	High	Very Severe Risk	

ADDITIONAL CONTROL MEASURES PLANNED:

We continue to seek ways to diversify our income streams and apply for external fundraising but our ability to generate income is limited by our lack of assets from which to trade/generate income and the fact that we are a public authority charged by Parliament with providing public services.

RESOURCES REQUIRED:

RISK RATING

LIKELIHOOD IMPACT PLANNED RESIDU

RISK RATING

	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	High	Medium	Severe Risk

OUTCOME:

Officer time

Focused organisation with resources targeted to agreed priorities

Acknowledgement from Defra that DNPA will remain reliant on public funding given limited opportunities to diversify income sources given the lack of 'assets' we own/lease

F2: INADEQUATE FINANCIAL MANAGEMENT

			RISK RATING		
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
AS	Unfunded budget variance. Under spend of core grant Reputational damage	Robust budget monitoring and procurement process. Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Staff finance training Devolved budgets with clear accountability supported by timely and accurate financial reporting Quarterly reports to Leadership Team & A&G Committee Seek / apply for Government support schemes; reduce associated costs accordingly and ensure plans to re-open services can be implemented quickly. Maintain close and regular contact with customers to monitor debtor balances, adjust payment terms if required and assess ability to pay.	Low	High	Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

On-going finance training for staff

Capacity issues are recognised and extra support is brought in to progress work programmes

RESOURCES REQUIRED:

Staff time and training resources				
	RISK RATING			
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Small	High	Material Risk	

OUTCOME:

Financial outturn on target

F3: Appeals, Public Enquiries and enforcement action could expose the Authority to considerable financial risks and create poor PR

			RISK RATING		
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
NW	Bad decisions that damage Dartmoor Additional costs and significant budget overspend Loss of public confidence Poor PR	Head of Development Management reviews all appeal files to learn lessons; reporting to LT and Members External legal advice and support obtained where necessary Good Practice Guide for Members and officers (planning) and appropriate training Enforcement Policy	Medium	Very High	Very Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Procure expert input when necessary

Clear project management arrangements for high profile cases

Head of Development Management to oversee and support review of Enforcement Policy, cases and management working closely with Deputy Head of Development Management and Planning Officers (Monitoring & Enforcement) x 2

RESOURCES REQUIRED:

Staff time and financial resources

Staff time and financial resources			
		RISK RATI	NG
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Low	Medium	Material Risk

OUTCOME:

All decisions are lawful, in accordance with advice and can be supported on appeal

Public confidence in decisions

Minimise payment of costs

G1: FRAUD AND CORRUPTION

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
AS	Misappropriation of Authority resources (not always financial)	Financial Regulations Standing Orders (updated Jan 2021) Prosecution deterrent Internal checks / controls Scheme of delegation Internal / External Audit Whistle-blowing Policy (updated Jan 2021). Bank Reconciliation IT Firewall IT security / passwords Anti-fraud & Corruption Policy in place Information Security Policy	Small	Low	Manageable Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Risks monitored especially during financially difficult times

RESOURCES REQUIRED:

Staff time

Stail time				
		RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Small	Low	Manageable Risk	

OUTCOME:

Staff aware of risks and controls regarding fraud & corruption

G2: INADEQUATE PROCUREMENT PRACTICE

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
AS	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	Service level agreement with Devon Procurement Service (DPS) to provide procurement support Standard set of templates, terms and conditions etc. kept up to date by DPS (on SharePoint site) Use of e-procurement portal Member of Devon & Cornwall Procurement Partnership. Financial appraisal. Risk Assessments. Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Procurement training Contract management Contractor Vetting & Insurance Project Management Training	Low	Medium	Material Risk

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				
	RISK RATING			
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Low	Medium	Material Risk	

OUTCOME:

All procurement undertaken within policies, procedures & legislation

G3: Inadequate management (and success) of partnerships and projects

			RISK RATING		
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
RD	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.	Signing up to formal agreements (Contracts, SLAs, MoUs, etc.), checked by legal advisers, that set out terms of reference, agreed objectives and outcomes, roles, responsibilities, exit strategies etc. Risk Assessments. Standing Orders. Financial Regulations. Internal/External Audit. External partners' controls Embedded link between project management and personal performance management via appraisals, work plans and the Business Plan. Performance monitoring - Business Plan.	Medium	High	Severe Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Ongoing monitoring of compliance with procedures and staff training.

RESOURCES REQUIRED:

Staff time and ongoing SLA with Devon legal

	RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Low	High	Severe Risk

OUTCOME:

Robust, well managed partnerships and projects that help to deliver Business Plan and National Park Management Plan objectives

G4: Inadequate decision-making process; inadequately documented decision-making process

				RISK RAT	ING
LEAD	CONSEQUENCE IF NO ACTION	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD %	IMPACT	RESIDUAL RISK RATING
NW	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 decisions undertaken under delegated powers Written advice about recording key decisions and process established	Low	Medium	Material Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Ongoing training for staff and Members

RESOURCES REQUIRED:

Staff & member time and training resources			
	RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING
PLANNED RESIDUAL RISK	Low	Medium	Material Risk

OUTCOME:

Low level of complaints, appeals & legal challenges

G5: Changes in legislation/failure to implement new legislation or policy

				RISK RAT	ING
LEAD	CONSEQUENCE IF	CONTROL MEASURES TO MANAGE RISK	LIKELIHOOD	IMPACT	RESIDUAL RISK RATING
LEAD	NO ACTION	CONTROL MEASURES TO MANAGE RISK	%	IIVII ACI	RESIDOAE RISK RATING
КВ	Requirement to revise working practices or introduce new systems. Potential compliance difficulties. Financial impact if the	The National Park Authorities 'Legalnet', South West Councils (HR) XpertHR online subscription Technical Support subscription (Finance) and member of Devon Accounting Group External Legal Services provision Various on-line alerts Up-dates and policy work via National Parks England and various professional network groups	Low	Medium	Material Risk

ADDITIONAL CONTROL MEASURES PLANNED:

Various legislation relating to planning to be monitored closely by Head of Development Management and Senior Policy Officer. Engaging with Defra on Government response to the Landscapes Review

RESOURCES REQUIRED:

Staff time with a plethora of legislation and consultations being issued				
		RISK RATING		
	LIKELIHOOD	IMPACT	PLANNED RESIDUAL RISK RATING	
PLANNED RESIDUAL RISK	Low	Medium	Material Risk	

OUTCOME:

Legally compliant with no challenges through Judicial Review