DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

3 NOVEMBER 2017

**FINANCIAL MANAGEMENT 1 APRIL TO 30 SEPTEMBER 2017
AND FORECAST OF FINANCIAL OUTTURN 2017/18**

Report of the Head of Business Support

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

1   Monitoring and Management of Revenue Budgets (April to September 2017)

1.1   This report enables Members to monitor income and expenditure variations against the approved budget for 2017/18. Effective budgetary control is essential to ensure priorities are delivered in accordance with the Authority's plans. Budget Management is a dynamic process, resulting in the budget being subject to many varying pressures throughout the year.

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

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

2   Forecast Outturn Position as at the 30 September 2017

2.1   The 2017/18 net budget was set at £3,846,282 (NPA/17/008) funded by National Park Grant (NPG) fees and charges and Earmarked Reserves. The Authority approved various appropriations to reserves at the end of the 2016/17 financial year (NPA/17/017) which are subsequently brought forward and allocated to the 2017/18 budget so that projects can be completed in the new financial year. This has resulted in the net budget increasing to £3,992,555.

2.2   Current projections, based on figures at the end of September (month 6) indicate that a surplus of £49,540 may arise. A Cost Centre summary can be found at Appendix 1 and a detailed variance analysis against budget can be found at Appendix 2.

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

Land Management - a surplus of £4,837. Underspend in pony support budget forecast and income received from Devon County Council for use of Dartmoor National Park Authority land.

Archaeology - a surplus of £5,001. Peatland bibliography project costs anticipated to be met by grant income from partners. Farm Environmental Plan income due from Countryside Stewardship Scheme.

Built Environment - costs of £1,374 (not budgeted) for character appraisals brought forward from 2016/17.

Higher Uppacott - Heritage Lottery Fund grant income and reserves will match expenditure incurred under the Moor than Meets the Eye project. Business rates / council tax savings. Events at Higher Uppacott have generated a net surplus of £793.

Visitor Management - Deficit in salaries of £3,057 due to agency staff covering (holidays and absence) until end of October. Surplus of £5,000 from donations (car park cairns).

Access and Recreation - Salary saving (retirement) of £15,199 offsetting Rangers additional hours and new post in Visitor Management & Recreation.

Public Rights of Way - salary savings made elsewhere being used to cover additional hours for Rangers. Nun's cross path repairs (£16,497) to be met from Donate for Dartmoor and Mend Our Mountains Crowd Funding monies currently held in reserves.

Visitor Centres - Salaries surplus currently forecast (£2,540) but is always difficult to predict at this stage and can fluctuate if emergency staff cover is required. Increased stock purchases (circa £15,000) is being matched by forecast increased income (also £15,000).

Communications - Vacancy currently projected to year end gives rise to a £5,458 surplus but recruitment is likely to take place shortly, so will reduce dependent on start date. Training budget not required - probable duplication with HR. Donate for Dartmoor promotion budget unlikely to be spent.

Rangers - Vehicle running costs forecast to be less than expected (circa £2,500). Additional training put in place (£1,800) and a £500 contribution made to Dartmoor Forest Parish Council for the speed watch awareness campaign.

Conservation Works Team - new staff structure implemented; two retirements last year; one more apprentice to recruit (advertising now) which has resulted in a vacancy saving of £12,699. Agency staff cover has been in place to cover the interim period and is being retained until end of October. Vehicle running costs forecast to be less than expected (circa £2,000) which will offset increased health & safety related costs and staff training.

Development Management - Vacancy saving (Head of Planning) has been used to meet the cost of extra planning officer staff cover. Other increased costs have been incurred to procure specialist external support & advice for complex applications, where in-house expertise is not available (£4,583). Planning fees and Pre-Application fee income is unlikely to meet target budget (number of applications received has reduced) £19,000 below budget, this is a demand led service.

Forward Planning - Vacancy saving (Head of Planning) and reduced hours, but extra capacity has been added. The Communities Fund is oversubscribed for both the South Hams and West Devon areas. This is the final year for the funding for the Teignbridge funding arrangement. The Local Plan review programme is on track, the budget is being closely monitored, extra costs of circa £15,000 could be incurred over

the life of the review (up to 2019/20) and therefore the Reserve may have to increase (which can be met from the salary savings in year).

Corporate & Democratic Core - £1,468 pension in payment saving. Audit fee savings (rebate due) and S151 support savings of £2,800 as now provided in-house. Treasury income reduced by £2,000 against target (working balances are reduced and there have been restrictions on length of investment term available). Donate for Dartmoor income received to date £7,770 which will be transferred to reserves at year end, to be allocated to projects in 2018/19.

Corporate Operating Costs - Potential pool car fuel cost savings (£1,230) but increased insurance costs of £5,300 due to rises in Insurance Premium Tax and the outcome of new long-term contract that arose from a joint procurement with other National Parks.

Legal - The Service Level Agreement with DCC for legal officer support has been terminated, saving £15,347. Specialist legal advice has been procured at a cost of £3,200.

Human Resources - increased costs of £2,208 relating to the staff training programme, Health &Safety matters and health & wellbeing support for staff.

Parke - Agency staff cover in place until end October to cover absence. Business rates savings.

Princetown - Increased external building repairs costs £4,600 relating to external decoration costs & replacement of portico roof. Re-coding of recycling / waste costs which will be met from existing overall budget.

2.4   The Authority set aside a **Project Fund** balance of £103,944 for this financial year. At the time of writing this report, the balance remaining in the Fund is £34,684. Bids made to the Fund and approved by Leadership Team are set out in the following table:

Project Fund	**£**
Opening Balance	**103,944**
Countryside Access Management System	(6,761)
Large format plotter / scanner	(6,699)
Software Licences	(2,289)
Website support	(500)
New posts in HR	(14,158)
Storage Area Network	(27,591)
Princetown Depot clearance	(7,825)
Higher Uppacott	(22,483)
Cycle South Dartmoor feasibility study contribution	(2,000)
Princetown portico repairs	(4,879)
Meldon Interpreted	(2,600)
Add back:	
Revenue budget savings – salaries	28,525
Balance remaining	**34,684**

2.5   Full utilisation of the Fund is anticipated by year-end, although some balances may be carried forward as some projects and posts span more than one financial year.

2.6 In June 2016 (NPA/16/020) Members gave approval to undertake public arts initiative called "Moor Otters". The project aim was to engage the public, support the local economy, promote positive key messages and generate an income stream to support our objectives. We set aside £140,000 in reserves to pump-prime the project. The project has now ended and a detailed report will be brought to the Authority in December. However in the meantime the following table sets out the financial headlines as at mid-October.

Moor Otters	**2016/17 £**	**2017/18 (at 12.10.17) £**	**Total £**
Expenditure	37,519	62,015	99,534
Income – sponsorship	(10,000)	(22,383)	(32,383)
Income - Adoptions/Auctions	0	(126,762)	(126,762)
Income – Donations	0	(2,684)	(2,684)
Net Deficit / (Surplus)	27,519	(89,814)	(69,295)

3 Treasury Management Stewardship - mid year performance

3.1 The function of Treasury Management (borrowing and lending monies) is covered by the CIPFA Code of Practice on Treasury Management in the Public Services. The Authority adopted this Code in 2004. In compliance with the code, the Authority approves a Treasury Management Policy & Investment Strategy annually (NPA/17/009). This sets out the detail on how the function is to be carried out, and delegates overall management of it to the Chief Finance Officer.

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

3.3 The following table shows the outturn position for the previous six financial years and a forecast outturn for 2017/18

2011/12 Outturn	**2012/13 Outturn**	**2013/14 Outturn**	**2014/15 Outturn**	**2015/16 Outturn**	**2016/17 Outturn**	**2017/18 Forecast**
£10,809	£21,920	£16,013	£17,998	£19,162	£17,950	£8,000 (Budget £10,000)

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

3.5 The forecast outturn for 2017/18 is impacted for the following reasons:

- Our working balances have reduced this year (see section 5 reserves)
- The downgrading of Barclays Bank credit rating earlier in the year meant that investing for longer than a 6 month period would have breached our Treasury Management Strategy. The credit rating for Barclays has once again been upgraded this month.

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

4   Capital Programme and Prudential Indicators

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

5   Reserves

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

5.2 The following table, based on the current financial position, sets out what the earmarked reserves are likely to be at 31 March 2017 and gives a comparator for the previous year:

2016/17 (Actual)	Earmarked Reserves	2017/18 (Forecast)
£		£
(2,537,831)	**Opening Balance**	(2,154,071)
724,719	Use of reserves in year	463,260
(340,959)	Contributions to reserves / carry forwards	(127,240)
(2,154,071)	**Closing Balance**	(1,818,051)
(450,000)	**General unallocated Reserve**	(450,000)

5.3 Reserve balances are closely monitored during the year and as we have now started the process of building the 2018/19 Budget and Medium Term Financial Plan (MTFP) the four year plan will be revised.

6   Sustainability and Equality Impact

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

7   Conclusions

7.1   The forecast outturn surplus of £49,540 represents a -1.24% variance against the budget. It should be noted that some forecasts are likely to fluctuate, especially if some projects are delayed due to poor weather conditions, or if other income is received and / or generated in the next 6 months. Action to realign budgets is not therefore recommended at this time.

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

<div align="right">DONNA HEALY</div>

Background Papers
NPA/17/008: 23017/18 Net Revenue Budget, Medium Term Financial Plan & Capital Budget
NPA/17/009: Treasury Management Investment Strategy 2017/18
NPA/17/017: Financial Outturn 2016/17

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

Functional Strategy	2017/18 Original Budget £	2017/18 Budget Variation/ Virement £	2017/18 Revised Budget	2017/18 Actual & Committed Month 6 £	2017/18 Budget Remaining	2017/18 Projected Outturn	2017/18 Year End Deficit/ (Surplus) £
Biodiversity	94,774		94,774	40,855	(53,919)	94,721	(53)
Land Management	83,276	7,825	91,101	24,030	(67,071)	86,264	(4,837)
Woodlands	46,094		46,094	20,332	(25,762)	45,777	(317)
Hill Farm Project - Princes Countryside Fund	20,557		20,557	9,458	(11,099)	20,557	0
Directorate Costs	6,000		6,000	430	(5,570)	6,013	13
Natural Environment	250,701	7,825	258,526	95,105	(163,421)	253,332	(5,194)
Archaeology	98,947		98,947	65,173	(33,774)	93,946	(5,001)
Built Environment	39,374		39,374	21,061	(18,313)	40,748	1,374
Higher Uppacott	27,064	22,483	49,547	40,525	(9,022)	54,240	4,693
Cultural Heritage	165,385	22,483	187,868	126,759	(61,109)	188,934	1,066
Visitor Management	153,362	(13,388)	139,974	56,512	(83,462)	138,291	(1,683)
Access	106,093		106,093	36,051	(70,042)	90,462	(15,631)
Public Rights of Way	103,790	6,761	110,551	57,503	(53,048)	129,157	18,606
Sustainable Transport & Tourism	18,407		18,407	9,504	(8,903)	18,578	171
Recreation Management, Traffic & Transport	381,652	(6,627)	375,025	159,570	(215,455)	376,488	1,463
Visitor Centres	180,316		180,316	105,012	(75,304)	177,338	(2,978)
Discovering Dartmoor's Wild Stories	0		0	11,061	11,061	0	0
Communications	201,867	5,500	207,367	113,471	(93,896)	196,602	(10,765)
Naturally Healthy Dartmoor Project	9,983		9,983	10,405	7,611	9,983	0
Education	128,148		128,148	61,428	(66,720)	128,148	0
Education, Information & Communication	520,314	5,500	525,814	301,377	(217,248)	512,071	(13,743)
Rangers	429,628	0	429,628	214,689	(214,939)	428,105	(1,523)
Conservation Works Service	241,139	0	241,139	118,190	(122,949)	230,008	(11,131)
Development Management	311,418	6,699	318,117	232,174	(85,943)	341,619	23,502
Forward Planning & Community	277,277	136,736	414,013	198,235	(215,778)	394,135	(19,878)
Corporate and Democratic Core	309,360	0	309,360	153,642	(155,718)	299,091	(10,269)
Information Technology	174,735	29,880	204,615	126,298	(78,317)	203,922	(693)
Corporate Operating Costs	119,253		119,253	83,024	(36,229)	122,820	3,567
Finance & Administration	178,523	(6,000)	172,523	90,177	(82,346)	173,326	803
Legal & Democratic Services	101,354		101,354	36,149	(65,205)	89,282	(12,072)
Human Resources	133,260	14,158	147,418	82,410	(65,008)	149,429	2,011
Office Accommodation (Parke)	101,796	8,000	109,796	66,452	(43,344)	104,587	(5,209)
Office Accommodation (Princetown)	46,543	(3,121)	43,422	35,157	(8,265)	49,909	6,487
Business Support	855,464	42,917	898,381	519,667	(378,714)	893,275	(5,106)
Project Fund	103,944	(69,260)	34,684		(34,684)	34,684	0
Total Net Expenditure	3,846,282	146,273	3,992,555	2,119,408	(1,865,958)	3,951,742	(40,813)
Funded By:	£			£	£	£	£
National Park Grant	(3,697,575)		(3,697,575)	(2,155,562)	1,542,013	(3,697,575)	0
Transfers from Reserves	(148,707)	(146,273)	(294,980)	0	294,980	(311,477)	(16,497)
Transfers to Reserves	0		0	0	0	7,770	7,770
Total	(3,846,282)	(146,273)	(3,992,555)	(2,155,562)	1,836,993	(4,001,282)	(8,727)
Budget Variation - (Under) / Over Spend	0	0	0	(36,154)	(28,965)	(49,540)	(49,540)

VARIANCE ANALYSIS MONTH 6	Salaries £	Travel & Subsistence £	Premises £	Transport £	Supplies & Services £	Expenditure Overspend (Underspend) £	Grants £	Sales Fees & Charges £	Income Deficit (Surplus) £	Total Variance Deficit (Surplus) £	Explanation
BIO-DIVERSITY	(260)	(574)			781	(53)			0	(53)	
LAND MANAGEMENT	561			(98)	(2,000)	(1,537)		(3,300)	(3,300)	(4,837)	Pony Suppport budget underspend & income from DCC - use of DNP land
WOODLANDS	(15)	(74)				(89)		(228)	(228)	(317)	
DIRECTORATE COSTS					13	13			0	13	
NATURAL ENVIRONMENT	**286**	**(648)**	**0**	**(98)**	**(1,206)**	**(1,666)**	**0**	**(3,528)**	**(3,528)**	**(5,194)**	
ARCHAEOLOGY	267	(1,000)		185	4,897	4,349		(9,350)	(9,350)	(5,001)	Peatland Bibliography project, costs to be offset by partners (tbc) and income due from FEPs - Countryside Stewardship Scheme
BUILT ENVIRONMENT	(3)	53			1,324	1,374			0	1,374	Character appraisals final docs - orders raised in 2016/17
UPPACOTT		364	9,922		10,286			(5,593)	(5,593)	4,693	MTMTE project grant income & expenditure, business rates / council tax saving.
CULTURAL HERITAGE	**264**	**(583)**	**9,922**	**185**	**6,221**	**16,009**	**0**	**(14,943)**	**(14,943)**	**1,066**	
VISITOR MANAGEMENT	3,057	127	25	60	48	3,317		(5,000)	(5,000)	(1,683)	Agency staff covering sickness & holiday absence. Income: Donations at Car Parks
ACCESS & RECREATION	(15,199)	17			51	(15,131)		(500)	(500)	(15,631)	Salary saving offsetting Visitor Management (new post) and Rangers (extra hours)
PROW	2,109				16,497	18,606			0	18,606	Rangers increased hours. Nun's Cross Path repairs to be met from Donate for Dartmoor income (see Reserves)
SUSTAINABLE TOURISM & TRANSPORT		71				71		100	100	171	
RECREATION MANAGEMENT	**(10,033)**	**215**	**25**	**60**	**16,596**	**6,863**	**0**	**(5,400)**	**(5,400)**	**1,463**	
VISITOR CENTRES	(2,540)	(8)			14,542	11,994		(14,972)	(14,972)	(2,978)	Increased stock purchases being forecast which is being offset against projected increased sales income
COMMUNICATIONS	(5,458)	37		29	(5,073)	(10,465)		(300)	(300)	(10,765)	Vacancy. Training budget not required, Donate for Dartmoor promotion budget will not be spent
EDUCATION	851			2	(950)	(97)		97	97	0	
PROMOTING UNDERSTANDING	**(7,147)**	**29**	**0**	**31**	**8,519**	**1,432**	**0**	**(15,175)**	**(15,175)**	**(13,743)**	
RANGERS	(1,471)	305		(2,553)	2,444	(1,275)		(248)	(248)	(1,523)	Fuel savings projected. Increased Training costs and Speedwatch project contribution
CONSERVATION WORKS SERVICE	(12,699)		(8)	(2,089)	3,695	(11,101)		(30)	(30)	(11,131)	Vacancy savings, all but one apprenticeship post is filled. Fuel savings projected. Increased Health & Safety and training costs, some of which will be met from MTMTE grant income
RANGERS, ESTATES & VOLUNTEERS	**(14,170)**	**305**	**(8)**	**(4,642)**	**6,139**	**(12,376)**	**0**	**(278)**	**(278)**	**(12,654)**	
DEVELOPMENT MANAGEMENT	**2,876**	**(339)**	**0**	**0**	**5,365**	**7,902**	**0**	**15,600**	**15,600**	**23,502**	Vacancy saving being used to fund temporary staff cover. Planning & Pre application fee income unlikely to meet target budget. Specialist legal advice costs for planning application processing
FORWARD PLANNING	**(20,656)**	**102**	**0**	**60**	**616**	**(19,878)**	**0**	**0**	**0**	**(19,878)**	Vacancy savings and reduced hours
CORPORATE & DEMOCRATIC CORE	**(1,468)**	**423**	**0**	**0**	**(1,785)**	**(2,830)**	**0**	**(7,439)**	**(7,439)**	**(10,269)**	Pension in payment savings, Audit and specialst support savings. Donate for Dartmoor income received to date - will be earmarked in reserves
INFORMATION TECHNOLOGY	(138)	264		(221)	(98)	(193)		(500)	(500)	(693)	Income: External recharge to DPA for work undertaken
CORPORATE OPERATING COSTS				(1,230)	4,969	3,739		(174)	(172)	3,567	Potential pool car fuel savings. New Insurance contract = increased costs
ADMINSTRATION & FINANCE	363	184			256	803			0	803	Training: procurement
LEGAL & DEMOCRATIC SERVICES	(15,347)				3,275	(12,072)			0	(12,072)	Legal support (staff) SLA with DCC has ceased. Legal advice re Dartmoor Commons Act Byelaws
HUMAN RESOURCES	640	574			2,208	3,422		(1,411)	(1,411)	2,011	Staff training , Health & Safety and Wellbeing costs. Staff cycle scheme costs and income
OFFICE ACCOMMODATION (PARKE)	(3,291)		(1,731)			(5,022)		(187)	(187)	(5,209)	Agency staff covering sickness absence. Business rates less than forecast
OFFICE ACCOMMODATION (PRINCETOWN)			7,046			7,046		(559)	(559)	6,487	External building repairs and decorating
CORPORATE SERVICES	**(17,773)**	**1,022**	**5,315**	**(1,451)**	**10,610**	**(2,277)**	**0**	**(2,831)**	**(2,829)**	**(5,106)**	
Reserves: to be brought forward					(16,497)	(16,497)			0	(16,497)	Nun's Cross Path - use of Donate for Dartmoor (see Prow for expenditure)
Reserves: to be carried forward						0		7,770	7,770	7,770	2017/18 Donate for Dartmoor Cash to be carried forward
REVENUE EXPENDITURE	**(67,821)**	**526**	**15,254**	**(5,855)**	**34,578**	**(23,318)**	**0**	**(26,224)**	**(26,222)**	**(49,540)**	

2017/18 GENERAL FUND RESERVE BALANCES

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2017/18 GENERAL FUND RESERVE BALANCES	2017/18 Opening Balance £	2017/18 Transfers Within £	2017/18 Transfers to Revenue in year £	2017/18 Transfers from Revenue at year end £	2017/18 Closing Balance £	Notes
Grants & Contributions with Restrictions						
Hill Farm Project	(20,339)		10,000		(10,339)	2nd Phase of the Project, with match funding, commences Feb 2017 for 36 Months
English Heritage: White Horse Hill	(20,036)				(20,036)	To fund the Exhibition at Postbridge VC, timing unknown
TDC: Communities Fund Grant prior years contributions	(55,863)		55,863		0	To be paid out during 2017/18
WDBC: Communities Fund Grant prior years contributions	(20,944)		20,944		0	To be paid out during 2017/19
SHDC: Communities Fund Grant prior years contributions	(28,610)		28,610		0	To be paid out during 2017/20
Naturally Healthy Dartmoor Project 2014-2017	(11,410)		11,410		0	Final year: 2017/18
DCLG - Neighbourhood Planning Grant	(5,000)				(5,000)	
DCLG - Self Build Register Grant	(5,850)				(5,850)	
DCLG - Custom Build Grant	(15,000)				(15,000)	
DCLG - New Burdens Grant: Brownfield register and PIP NP	(14,645)				(14,645)	
Dartmoor Trust - 2017/18 contribution for the HER	(4,000)		4,000		0	
Donate for Dartmoor Balances	(16,644)		16,497	(7,700)	(7,847)	Allocated to nun's Cross Path in 2017/18
Budget management Fund - Provisions (risk based)						
Employees	(52,000)				(52,000)	*See risk assessment for breakdown*
Costs and Awards: Appeals/Public Enquiries/Litigation	(250,000)				(250,000)	*See risk assessment for breakdown*
Loss of Income and Inflation	(34,500)				(34,500)	*See risk assessment for breakdown*
Invest to Save and / or Generate Projects	(133,733)				(133,733)	To be utilised / allocated in the new MTFP
Annual Revenue Outturn	(5,822)	5,822		(49,540)	(49,540)	Month 6 forecast
				15,000	15,000	Transfer to Local Plan review programme
Capital Expenditure Fund						
Vehicles - Sinking Fund - Replacement	(48,596)	(5,822)			(54,418)	
Property - Sinking Fund - Repairs & Maintenance	(150,000)				(150,000)	
Known Commitments						
Chagford Cattle Grid	(3,000)		3,000		0	Paid 2017/18
Local Plan Review contracts	(153,819)		74,319	(15,000)	(94,500)	
All Moor Butterflies NPA/15/037	(17,500)		5,000		(12,500)	Project start delayed - 3 year programme
MIRES PR14	(10,000)		5,000		(5,000)	3 year partnership project, to be allocated when required
Project Fund allocations in 2016/17 against salaries	(132,262)		76,049		(56,213)	Built into 2017/18 Budget and MTFP
Residents' Survey	(5,000)		5,000		0	Completed May 2017
Match Funding Reserve						
HLF - Moor Than Meets the Eye match funding	(148,305)		48,305		(100,000)	Allocated as required to match cash out flows.
Moor than Meets the Eye - Cash Flow	(300,000)				(300,000)	Based on project cash flow - retention and final claim in year 5
Superfast Broadband - connecting Dartmoor & Exmoor	(65,000)		65,000		0	Approved in 2015/16, due to be paid in 2017/18
Greater Dartmoor LEAF 2015-2020	(13,800)		6,900		(6,900)	NPA/14/038 for years 2018-2020
Naturally Healthy Dartmoor Project	(10,000)		10,000		0	NPA/14/031 for years 2015-2017 - ends Dec 2017
Discovering Dartmoor's Wild Stories	(17,363)		17,363		0	Match against HLF Funding in 2016/17 & 2017/18
National Parks Partnerships LLP	(10,000)				(10,000)	No longer required tbc
Our Common Cause: Our Upland Commons NPA/16/009	(8,000)				(8,000)	Unsuccessful, at first attempt.
Dartmoor Arts Iniative NPA/16/020	(112,481)	112,481		(70,000)	(70,000)	Project surplus to be allocated to projects
Discover England Fund		(25,000)			(25,000)	£15k confirmed match funding and £10k contingency
Unallocated fund balance	(254,549)	(87,481)			(342,030)	
Total Earmarked Reserves	**(2,154,071)**	**0**	**463,260**	**(127,240)**	**(1,818,051)**	
General Reserve (unallocated emergency reserve)	**(450,000)**			**0**	**(450,000)**	
Total General Fund Balance	**(2,604,071)**	**0**	**463,260**	**(127,240)**	**(2,268,051)**	

2017/18 RESERVES: RISK BASED ANALYSIS	Risk Level	Rate	2017/18 Forecast Outturn £'000
Grants & Contributions with Restrictions carried forward:			
Grants & Contributions with Restrictions	N/A	Actual	(79)
Employees:			
Maternity / Paternity Cover / Pay Awards	Low	Est.	(52)
Costs & Awards:			
Appeals / Public Enquiries / Litigation	High	Est.	(250)
Loss of Income and / or Price Increases:			
Reduced Sales, Fees & Charges or Inflation cost	Medium	Est	(34)
Capital - Property:			
Repairs & maintenance (sinking fund)	Medium	Est.	(150)
Capital - Vehicles			
Provision for future replacement of vehicles (sinking fund)	N/A	Est.	(54)
Known Commitments/Contracts			
Local Plan Review	N/A	Est.	(95)
All Moor Butterflies	N/A	Actual	(12)
MIRES PR14	N/A	Actual	(5)
2016/17 Project Fund allocations	N/A	Actual	(56)
Match Funding Reserve			
Greater Dartmoor LEAF	N/A	Actual	(7)
Naturally Healthy Dartmoor	N/A	Actual	0
Dartmoor's Wild Stories - HLF	N/A	Actual	0
Our Common Cause	N/A	Actual	(8)
National Parks Partnerships LLP	N/A	Actual	(10)
Public Arts Project	N/A	Actual	(70)
Moor Than Meets The Eye - match funding	N/A	Actual	(100)
Moor Than Meets The Eye - cash flow provision	N/A	Actual	(300)
Discover England Bid	N/A	Actual	(25)
Unallocated to match future opportunities	N/A	Actual	(342)
Revenue			
Invest to save and / or Generate Projects	N/A	Actual	(134)
2017/18 Revenue Outturn Surplus		Actual	(35)
General Reserve - Minimum amount to cover unanticipated costs / emergencies		Actual	(450)
Total Reserve Balance			**(2,268)**

DARTMOOR NATIONAL PARK AUTHORITY

3 November 2017

**BUSINESS PLAN MONITORING 2017/18
(APRIL – SEPTEMBER 2017)**

Report of the Head of Organisational Development

Recommendations : **That Members note the content of the report and comment on performance and progress to date against the key actions identified in the 2017/18 Business Plan**

1 Purpose of the Report

1.1 This report informs Members of the Authority's performance at Quarter 2 against the key actions identified in the Business Plan for 2017/18.

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 2017/18 is attached at Appendix 1.

1.3 Members will be aware that whilst this report focuses on the specific key actions, the current Business Plan recognises that our core business also continues on a daily basis.

2 Performance against key actions in Quarter 2

2.1 The Business Plan 2017/18 identifies 33 key actions against the six agreed priorities for the Authority. Key action number 10 relates to the *Moor than meets the eye* programme and is broken down into a ten separate actions.

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

2.3 Members will note the progress made against the 33 (plus 10 *MTMTE*) key actions at the halfway point in the business year, which is summarised in the table below:

Progress	No.	MTMTE (key action 10)	%
On target / completed	25	3	**65**
Delayed / behind schedule	4	7	**26**
Unlikely to complete	4	0	**9**

2.4 Members are invited to review the Business Plan monitoring spreadsheet and recognise, question or seek assurances regarding the delivery of the 2017/18 Business Plan.

3   Equality and Sustainability Impact

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

4   Financial Implications

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

5   Conclusion

5.1 Members will note from this report that the Authority is making good progress in delivering the Business Plan 2017/18 in the first half of the business year. .

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S U S T A I N

E N J O Y

P R O S P E R

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
16	Seek funding for and deliver a new 'Dartmoor Youth Rangers' project to address the gap in informal learning opportunities for teenagers.	P3	OR	**Milestone:**		**Milestone:** Decision on Kick the Dust bid expected August		**Milestone:** Input to development of second round bid if successful. Consider alternative funding mechanisms if not successful	**Milestone:**
				Progress: Bid complete - submitted by SWLT - awaiting decision	**G**	**Progress:** Kick the dust bid - unsuccessful. Further work required to consider whether an Our Heritage bid would succeed.	**R**	**Progress:**	**Progress:**
20	Scope 'Miles Without Stiles' project to improve access for all visitors to the National Park with NPA partners and seek funding through Sport England's Active Recreation Fund	P3	AW	**Milestone:** Joint NPA's outline expression of interest submitted (implementation will be dependent on success of bid)		**Milestone:** Joint funding bid submitted (Implementation timescale not yet known)		**Milestone:** meeting with Sport England to discuss the bid	**Milestone:**
				Progress: Bid for all 10 English parks submitted in May	**G**	**Progress:** No further progress or update	**R**	**Progress:**	**Progress:**
30	Rural Productivity Network – secure staff capacity to deliver this initiative	P5	KB	**Milestone:** Clarify funding situation with GD Leaf. Consider scope to develop a bid for facilitation capacity linked to wider objectives eg take-up of superfast broadband		**Milestone:** Depends on funding advice from GD Leaf		**Milestone:**	**Milestone:**
				Progress: Advised that the RPN concept is not eligible for funding via GD Leaf	**R**	**Progress:** No progress in terms of securing external funding for a facilitation post to develop the proposals. Briefed Mel Stride MP who promised to discuss the concept with Treasury and Defra officials	**R**	**Progress:**	**Progress:**
32	Proactive links to local universities – dissemination of research, tap into potential student volunteers and to promote the National Park for tourism (eg focused initiative around graduation and freshers' week)	P5	AK	**Milestone:**		**Milestone:** Partnership with SWEEP commenced (see action 9)		**Milestone:**	**Milestone:**
				Progress:		**Progress:** SWEEP partnership established (see action 9).	**R**	**Progress:**	**Progress:**
9	Develop Natural Capital Account and Natural Infrastructure Investment Plan (2017/18) (EF)	P1	KB	**Milestone:**		**Milestone:** Partnership with SWEEP commenced. Training workshop held. Project and Communications Plan produced identifying outputs and future milestones		**Milestone:**	**Milestone:**
				Progress: Conformation that resources secured. Training workshop held, Project plan to be drafted and agreed	**G**	Awaiting confirmation of work programme and milestones from SWEEP.	**A**	**Progress:**	**Progress:**
10	Manage MTMTE Landscape Partnership and implement key actions which the Authority is leading on: *Natural Connections (CM)* *Haymeadows (CM)* *Ponies, Pounds and Driftways (RS)* *Bellever & Postbridge Trails (ID)* *Moor Medieval (NP)* *Welcome to Widecombe (AB)* *Dartmoor Story (AB)* *Heritage Trails (AC)* *Postbridge Visitor Centre (RD)* *Conservation Apprentices (JS)*	P1	CM	**Milestone:** **Natural Connections -** Draft Integrated Management Plan		**Milestone:** **Natural Connections -** Draft Integrated Management Plan		**Milestone:** **Natural Connections -** Integrated Management Plan completed. Small capital grants advertised/allocated.	**Milestone:** **Natural Connections -**
				Progress: Still drafting	**A**	**Progress:** Still drafting	**A**	**Progress:** Note: Project Officer leaves 31/12/17	**Progress:**
10		P1	ID	**Milestone:** **Bellever & Postbridge Trails -** - procure and deliver small-scale/quick-win works - confirm Forestry Commission works and timescale		**Milestone:** **Bellever & Postbridge Trails - I**mplement village trail		**Milestone:** **Bellever & Postbridge Trails -** Implement Bellever cycle route	**Milestone:** **Bellever & Postbridge Trails -** Decision required on Whitehorse Hill Cairn
				Progress: - small-scale works being delivered to agreed routes	**A**	**Progress:** small scale works have continued Village trail groundworks completed, signage on order. Agreed programme with FC to remodel car park and interpretation plan to be drawn up October / November.	**A**	**Progress:**	**Progress:**

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
10		P1	NP	**Milestone:** Moor Medieval - - organise monthly Study Group meeting/event - progress work on 4 key research areas		**Milestone:** **Moor Medieval -** organise monthly Study Group meeting/event - progress work on 4 key research areas		**Milestone:** **Moor Medieval -** organise monthly Study Group meeting/event - progress work on 4 key research areas Develop Year 3 Report	**Milestone:** **Moor Medieval -** organise monthly Study Group meeting/event - progress work on 4 key research areas
				Progress: Field trips to Vinnimore and Dunnabridge and study group meeting.	A	**Progress:** combined field trip study group meeting - July; group visit to Bradley Manor - September.	A	**Progress:**	**Progress:**
10		P1	AB	**Milestone:** Welcome to Widecombe - - Complete interpretation panel design - Start village guide leaflet design - Meet Margaret Rogers (Ally K arranging) to confirm Glebe Farm works viability or discuss Plan B: North Hall Manor (final) community dig		**Milestone:** **Welcome to Widecombe -** Agree proposals for Glebe Farm element of the project.		**Milestone:** **Welcome to Widecombe -**	**Milestone:** **Welcome to Widecombe -**
				Progress: - Interpretation panels designed, approved and installed 2 July - Village guide leaflet drafted - Still awaiting meeting to confirm proposals for Glebe Farm and possible Plan B: North Hall Manor (final) community dig	A	**Progress:** Glebe Farm proposals aborted due to lack of landowner interest. Proposed rescoping to culminate in North Hall Manor celebration dig 2018. Rescoped and LP Board approved in principle.	A	**Progress:** North Hall dig proposal to be prioritised to Board/HLF final approval	**Progress:**
10		P1	AB	**Milestone:** Dartmoor Story - - Website: confirm page content for DNPA website launch - Events: continue delivery - Haytor Hub interpretation board: draft copy for board and commission illustrations (Chrissy Mason leading) - HU & medieval farming: coordinate with Strategy Group - Wray Valley Trail interpretation: meet DCC reps and initiate contact with ItFotV researchers - Birch Tor panels: draft copy for board - Dart Valley boards: agree final design and mapping, manufacture and installation by school summer holidays - clarify WT output forecast overspend		**Milestone:** Dartmoor Story - Dart Valley boards erected on site		**Milestone:** Dartmoor Story -	**Milestone:** Dartmoor Story -
				Progress: - Website: DNPA website content launched. - Events: forthcoming programme at: http://www.moorthanmeetstheeye.org/get-involved/upcoming-events - Haytor Hub interpretation board: copy drafted and illustrations complete (Chrissy Mason leading) - HU & medieval farming: fed into Strategy Group thoughts on interpretation. On-hold whilst works scope is clarified - Wray Valley Trail interpretation: met DCC reps and initiated contact with ItFotV researchers - Birch Tor panels: no progress with draft copy/board layout - Dart Valley boards: board complete, manufacture and installation due by 21 July	A	**Progress:** - Website: content drafted and awaiting 'Dartmoor Story' infrastructure on DNPA website - Events: 21 diverse events organised over last quarter - Haytor Hub interpretation board: proofs out for final comment - HU & medieval farming: fed into Strategy Group thoughts on interpretation. On-hold whilst works scope is clarified - Research content available through PB7 - In the footsteps of the Victorians project - Birch Tor panels: no progress with draft copy/board layout - Dart Valley boards: Newbridge installed and Dartmeet board awaiting delivery of new display case	A	**Progress:**	**Progress:**
10		P1	AK	**Milestone:** **Heritage Trails -** - Upload additional routes - Leaflet design		**Milestone:** **Heritage Trails -** full launch with DNPA website		**Milestone:** **Heritage Trails -** promotion at 10 Tors Leaders' meeting	**Milestone:** **Heritage Trails -** 6 new trails uploaded
				Progress: - Routes: 6 added plus Otter trail; 15 trails now available - Leaflet: No progress	A	**Progress:** Further 1 route added. 576 pages views in first year. Plan for promotion agreed.	A	**Progress:**	**Progress:**

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
10		P1	RD	**Milestone:** **Postbridge Visitor Centre** - submit EOI to EAFRD, finalise with Duchy support for a new Centre		**Milestone:** **Postbridge Visitor Centre** - subject to Q1 submit full application, draw up plans for new centre		**Milestone:** **Postbridge Visitor Centre** - Plan B presented to MTMTE board and HLF monitoring. Timelines and budgets developed.		**Milestone:** **Postbridge Visitor Centre** - start work on interpretation and refit of centre	
				Progress: EOI written but awaiting sign off from Duchy- submission by mid-July	**G**	**Progress:** EOI successful but match funding requirements meant that we cannot proceed with plans to build a new Centre.	**A**	**Progress:**		**Progress:**	
14	Scope potential for a Dartmoor Food initiative (linking food, farming and tourism)	P2	CG	**Milestone:** Explore options and identify successful initiatives		**Milestone:** Form group and plan event		**Milestone:** Being formulated		**Milestone:** Being formulated	
				Progress: Still scoping	**A**	**Progress:** Decision made to hold meeting with key stakeholders rather than wider farmer workshop. Spoken to farmers and need to follow up to establish attendance and agenda	**A**	**Progress:**		**Progress:**	
27	Affordable Housing – seek funding for the provision of affordable housing on Dartmoor and develop a viable delivery model. Implement Revolving Land Bank proposals if funded. Agree new Supplementary Planning Guidance	P4	DJ	**Milestone:** Complete draft SPD		**Milestone:** Draft SPD published for public consultation		**Milestone:**SPD Adopted. Consider (jointly) position on Land Bank bid following outcome of General Election and any ministerial change		**Milestone: Land Bank bid progression if deemed possible.**	
				Progress: Draft SPD received. Concerns regarding additional work still needed.	**A**	**Progress:** Revised draft considered. Concerns regarding timescales for publication (policy clash) and assessing scope to adopt immediately as interim informal guidance to bridge gap.	**A**	**Progress:**		**Progress:**	
28	Support delivery of high speed broadband on Dartmoor and work in partnership to encourage use of this network by local businesses and communities	P5	JR	**Milestone:** Confirm final coverage and rollout plan		**Milestone:** All planning applications determined		**Milestone:** All network infrastructure installed		**Milestone: Programme of Demand stimulation and awareness underway**	
				Progress: Final Coverage & rollout expected to be confirmed in July. Continue to offer pre-app advice for additional infrastructure, still awaiting confirmation on implications of code powers being secured by Airband.	**A**	**Progress:** Final coverage and rollout still to be confirmed via contract change request. We continue to offer pre-app advice. Airband now benefit from Code Powers and currently in discussion regarding need for Prior Approval for new masts.	**A**	**Progress:**		**Progress:**	
1	Peatland Project - following work to establish the extent and condition of Dartmoor's peatland, apply for funding to implement an agreed plan to conserve and enhance peatlands, ensuring multiple outcomes and (looking at opportunities for engagement of local contractors and payment for ecosystem services)	P1	AK	**Milestone:** Complete Logic Framework process to inform funding bid. Complete prioritised action plan. Consider appropriate funding options and decide whether to submit a bid.		**Milestone:** Complete prioritisation exercise. Consider application to Defra capital grant for peatland restoration if support from partnership, landowners and commoners. Continue to look for other funding		**Milestone:** Closing date for applications to Defra grant 21 November		**Milestone:**	
				Progress: Logic Framework process completed with the peatland partnership through an external facilitator. Decision not to submit LIFE bid but still taking forward work to develop a prioritised action plan.	**G**	**Progress:** Prioritisation exercise ongoing. Bid to Defra being considered and worked up. Support received from Peatland Partnership.	**G**	**Progress:**		**Progress:**	
2	Moorland Birds Initiative – work with RSPB, Duchy of Cornwall and other partners on an initiative to promote better management of moorland habitats for birds	P1	RK	**Milestone:** RSPB is lead. DNPA a funding partner. Appoint Moorland Birds Officer and May and agree work priorities.		**Milestone:** Delivery of advice across the MTMTE area		**Milestone:** Delivery of advice across the MTMTE area		**Milestone: Delivery of advice across the MTMTE area**	
				Progress: underway, on target. Project steering group met 10/3/17 (RK and CG present). Terms of reference for project agreed, PO work priorities discussed and recruitment approved for action by RSPB. Post advertised from early April. Interviews 12/5/17, with CG part of interview panel.	**G**	**Progress:** PO recruited and in post. CG on steering group (met twice) and RK on advisory group (meet November). Promotional advisory materials agreed and initial objectives established. PO met with number of stakeholders	**G**	**Progress:**		**Progress:**	
3	Common Cause – project with Foundation for Common Land, Duchy, DaCC, RSPB, NE, NT, DWT to develop local visions for three pilot commons, trialling community engagement and new approaches to management	P1	AK	**Milestone:** awaiting decision on whether to re-submit and timings		**Milestone:** Decision on application due in August		**Milestone:**		**Milestone:**	
				Progress: Project has been re-submitted for 3rd time	**A**	**Progress:** Application successful. Project Manager interviews in November.	**G**	**Progress:**		**Progress:**	

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
4	Continue parish-based approach to biodiversity, building on the Housemartins and Cuckoo projects – focus on community engagement/citizen science	P1	RK	**Milestone:** Project planning House martin project 2017. Cuckoo project underway.		**Milestone:** Delivery of house martin project. Prepare short list of potential future parish-based projects in consultation with rangers and partners.		**Milestone:** Identify two new potential projects for delivery in 2018, with potential partners and funding.	**Milestone: Review 2017 parish based approach delivery and plan 2018 projects**
				Progress: underway, on target. Cuckoo project promoted via social media and active recording via DNP website and through visitor centres. House martin project work plan and budget agreed with partners.	G	**Progress:** Two walks delivered for parish communities with RK and John Walters to raise awareness and understanding for the house martin project.	G	**Progress:**	**Progress:**
5	Scope potential for 'landmark' archaeology/cultural heritage project	P1	LB	**Milestone:** Consider initial ideas at LT meeting in May and agree next steps/resourcing. Consider and discuss with potential funding partners.		**Milestone:** Production of better defined project design for the project by LB, Emma Stockley and David Stone.		**Milestone:**	**Milestone:**
				Progress: Evolved a project concept in conjunction with LT revolving around the them of medieval settlement on Dartmoor. Development of more solid project concept is next step	G	**Progress:** 2 ideas have developed: Dig Dartmoor community test pit project across all Dartmoor parishes (HLF) and Roborough Down project working with disadvantaged communities potentially through the MOD.	G	**Progress:**	**Progress:**
6	Historic Environment Record and Local Heritage Assets – implement process for registering undesignated Heritage Assets	P1	NP	**Milestone:** Authority approval in April.		**Milestone:** Implementation phase		**Milestone:** Review process at end of Q3	**Milestone:** Complete review process and report to LT
				Progress: Approved at Authority Meeting 07/04/2017.	G	**Progress:** Ongoing.	G	**Progress:**	**Progress:**
7	Higher Uppacott – complete restoration and develop a 'business model' for future interpretation and management	P1	AW	**Milestone:** 12 Public Events Contract for internal works awarded Re-profile budget and priorities Business model discussed at LT and with PMWP in June		**Milestone:** Internal works commenced		**Milestone:** Internal works completed	**Milestone:** Develop volunteer group for garden
				Progress: Budget re-profiled and prioritised based on tender returns. Evaluation of tenders completed. Future use of HU reported to LT for discussion. Programme of costed works to reduce radon levels identified.	G	**Progress:** Carrek Ltd appointed and are on site to undertake programme of repairs and conservation works to interior -Shippon wall, Hall, Inner room and first floor rooms. Due to be completed middle of October 2017. Radon contractor commissioned to install intervention measures.	G	**Progress:**	**Progress:**
8	Review the National Park Management Plan (start in 2017/2018 adopt new plan in 2020)	P1	KB	**Milestone:** Not starting until Q3		**Milestone:** Not starting until Q3		**Milestone:** Capacity to project manage and undertake the review procured	**Milestone:** Review commenced
				Progress: Not starting until Q3	G	**Progress:** Not starting until Q3	G	**Progress:**	**Progress:**
10	Manage MTMTE Landscape Partnership and implement key actions which the Authority is leading on:	P1	CM	**Milestone:** Haymeadows - Meadows Conference and Family Day - Organise final haymeadows walk event		**Milestone:**		**Milestone:** - seed harvesting group established with ToR - seed harvesting kit purchased	**Milestone:**
				Progress: Delivered Meadows support, conference, family day. Final haymeadow walk organised and fully booked at Challacombe	G	**Progress:** Ongoing	G		
10		P1	RS	**Milestone:** Ponies, Pounds and Driftways - - update delivery plan - organise East Shallowford works - liaise with new Blackmoor Slade owner at Venton site to confirm works scope - liaise with Postbridge stakeholders to confirm works scope		**Milestone:** **Ponies, Pounds and Driftways** - Venton and Shallowford projects started		**Milestone:** **Ponies, Pounds and Driftways** - Venton and Shallowford projects completed. Postbridge driftlands project started	**Milestone:** **Ponies, Pounds and Driftways** - Postbridge driftlands project completed
				Progress: schemes for Postbridge and East Shallowford agreed and contractors have provided quotes for the work. Venton is delayed.	A	**Progress:** Postbridge driftway started at end of September and will be completed on 6 October. Voluntary work by owner of East Shallowford pound has been completed. Initial days work with contractor is to be undertaken imminently and await fuller estimate for rest of works. Venton work agreed in principle with owner. Site visit to agree vegetation clearance to be organised with RK and then contracted out.	G	**Progress:**	**Progress:**
				Milestone: **Conservation Apprentices** - Apprentice advertised and appointed		**Milestone:** **Conservation Apprentices** - Apprentice starts		**Milestone:** **Conservation Apprentices** - second HLF supported Apprentice advertised and appointed	**Milestone:** **Conservation Apprentices** - scrod HLF supported Apprentice in post

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
10		P1	JS	**Progress:** Advertising & selection for interview completed. Interviews booked for 4 May at Station Yard depot; 9 candidates to be interviewed. At the same time the CWS will interview a selection for DNPA funded apprentice.	G	**Progress:** - 2 new apprentices started 6 June and have had an extensive programme of training - third Apprentice (second HLF funded) phase post advertised	G	**Progress:**		**Progress:**	
11	Review MTMTE and use the NPMP process to develop thinking on future ambitions for a new large scale multi objective scheme.	P2	MTMTE - MA	**Milestone:** - Interim Evaluation data gathering (June - Sept), draft report Sept, presentation to working party and Board Oct		**Milestone:** Work on MTMTE Mid Term Review starts		**Milestone:** Work on MTMTE Mid Term Review completed		**Milestone:** Actions resulting from Mid-Term Review	
				Progress: - data gathering/collation underway, key stakeholders being contacted by Resources4Change in July/Aug/Sept	G	**Progress:** - data/evidence collection, interviews and analysis mainly complete - key findings workshop 11 Oct	G	**Progress:**		**Progress:**	
12	Work to develop a post Brexit model for environmental investment and farm development on Dartmoor.	P2	KB	**Milestone:** Working Group established to develop Dartmoor specific model building on work by NPE on Future of Farming		**Milestone:**		**Milestone:** Share initial ideas from Task and Finish Group at Dartmoor Farmers' Forum		**Milestone:** Working Group completes its work by end of December (timeline may alter depending on advice from Defra officials)	
				Progress: Authority approved establishment of a Task and Finish Group and appointed Maurice Retallick to chair it. Invites sent out and date of first meeting set. Internal meeting held.	G	**Progress:** Two meetings of the Task and Finish Group held. NPE FARM proposals and DFF experience shared with Secretary of State when he visited Dartmoor	G	**Progress:**		**Progress:**	
13	Continue to support the Hill Farm Project as a delivery vehicle for farmer engagement and development of new projects to support farming on Dartmoor. Specific actions to include: supporting and promoting Moorskills apprenticeship; training and knowledge transfer; facilitate collaborative working between farming and tourism businesses.	P2	CG	**Milestone:** 3 training events delivered . Training co-ordinator post re-advertised. Calendar of events produced.		**Milestone:** 3 training events delivered . Training Co-ordinator starts. I specialist advisor day on farm.		**Milestone:** 3 training events delivered . I specialist advisor day on farm		**Milestone:** 3 training events delivered . I specialist advisor day on farm.	
				Progress: Training events delivered. Failed to recruit training coordinator in March so readvertising for June/July start. Re-evaluation of Moorskills model - TBC. Training coordinator interviews held in late June and appointment made.	G	**Progress:** Training coordinator recruited and started August 20th. Promotional event held by SG chair. Around 20 training events delivered. £10K of additional funding secured to deliver the PCF Resilience Programme on Dartmoor. Moorskills will continue running from Sep with 2 continuing apprentices.	G	**Progress:**		**Progress:**	
15	Work with EA, FC and NE to develop an integrated approach to farm based advice with potential for capital grants to address flood management issues	P2	CG	**Milestone:** Contribute to development of priorities and detailed business case.		**Milestone:** Business case submitted to Defra by EA		**Milestone:** Subject to EA funding		**Milestone:** Subject to EA funding	
				Progress: EA mapping completed and priority areas are being identified. Groundtruthing mapping during summer period	G	**Progress:** 4 priority catchments have been identified for project. Potential funding available to fund a DNPA PO post in 2018 in partnership with EA. Post to be worked up in November. Business case submission due at the end of the Autumn. Need to agree coms strategy with EA before roll out. CG speaking to farmers regarding approach.	G	**Progress:**		**Progress:**	
17	'Recruit' Education Guides to ensure we can sustain our formal education offer	P3	OR	**Milestone: Ongoing advertising and recruitment**		**Milestone:** Focussed recruitment at shows and outreach events		**Milestone:** Volunteer guides training day to promote ambassadorial role for recruiting peers		**Milestone:** Review and reflect on progress	
				Progress: 2 new Volunteer Education Guides have been recruited and are undergoing induction training and shadowing; a further 2 new Volunteer Education Guides have applied, been interviewed, have either completed or have in place necessary mandatory training and will start induction process in quarter 2.	G	**Progress:** A further 2 potential Education Volunteers (6 in total) have expressed interest and been interviewed - they are starting their training and development journey. The first 'new pair' have completed induction and are now leading events for us.	G	**Progress:**		**Progress:**	

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
18	Develop and implement three year vision and 'business plan' for the National Park Visitor Centres	P3	RD	**Milestone:** Review initial work and draw up programme of work for the summer, ensuring that all related projects are mindful of the paper.		**Milestone:** Deliver and review retail policy over the key summer months. Deliver the visitor survey. Draw up Postbridge plans		**Milestone:** Write and review retail strategy 2018-2020. Write visitor survey report		**Milestone:** Complete reports on visitor survey and retail strategy. Ensure plans for 2018-19 are in place and follow Visitor Centre vision.	
				Progress: Work programme for summer drawn up concentrating on key events and supporting Moor Otters.	A	**Progress:** Number of events delivered in line with retail policy, Dartmoor Ambassadors engaged to support visitor centres, Visitor Survey collected more than 1000 face to face surveys and Postbridge plans halted due to match-funding requirements.	G	**Progress:**		**Progress:**	
19	Discover England funding bid (joint with all English NPAs)	P3	RD	**Milestone:** On-going work with project group to prepare for successful outcome of DEF bid		**Milestone:** Subject to successful outcome, start scoping Ranger brand work and also delivery of marketing elements for the SW National Parks		**Milestone:** First meetings for Ranger brand, staff in place to deliver the DEF		**Milestone:** joint ranger brand scoping work complete and shared by DNPA, ENPA, PDNPA and LDNPA.	
				Progress: DEF queries answered and delivery group initiated recruitment process	G	**Progress:** Work undertaken to get agreement on budget, work streams and promotion before the grant offer letter was signed (late September 2017). Interim project manager appointed and work groups allocated.	G	**Progress:**		**Progress:**	
21	Public Arts Project – Moor Otters (2017/18)	P3	SH	**Milestone:** Moor otters trail launched, online auction site live, otters in place, trail leaflets produced and distributed, schools project underway		**Milestone:** Trail live, online auction underway, auction book produced, schools project finished and in visitor centre, live auction for golden otters		**Milestone:** all monies collected from online and live auction, otters distributed to their new homes, artists commission and expenses paid, authority report presented. Project completed		**Milestone: project completed**	
				Progress: on track as per milestone, trail a huge success may need to reprint trail guides. Two otters already sold!	G	**Progress:** Trail was a huge success with public, lots of positive feedback. All other milestones complete. Live auction and online auctions completed	G	**Progress:**		**Progress:**	
22	Work with local communities, stakeholders and land managers to maintain PROW to a high standard. Develop a three year rolling programme to guide investment in access infrastructure Review progress in January 2019.	P3	AW/Rangers	**Milestone:** Student ranger continued for 1 year to allow concerted effort on PROW. PROW Review reported to A & G in May. Purchase CAMSweb		**Milestone:** Asset management approach to PROW developed with three year forward plan identifying resources required to maintain network. Implement CAMSweb - rollout with ranger service and volunteers		**Milestone:** Rangers ,Volunteers using CAMSweb. Scope out CAMSmobile for 2018/19		**Milestone:** Outstanding PROW issues reduced by 25% by June 2018	
				Progress; Initial work to move cams over to new system has started. Student ranger in post. PROW review not reported to A and G, report progress to next meeting?	A	**Progress:** PROW review implementation update reported to Authority in September. First phase of CAMS work to externally host completed. CAMSweb work due to commence October due to external hosting work taking longer than anticipated.	G	**Progress:**		**Progress:**	
23	Visitor management – implement an agreed programme of communication to influence visitor behaviours more effectively; including consideration of interpretation and signing across the National Park Develop key messages and new materials for all partners and stakeholders	P3	SH/AW	**Milestone:** draft new messages and creative style developed and tested with stakeholders		**Milestone:** draft messages and creative presented to LT with campaign plan to be developed by new promotions officer [if in post by then]		**Milestone:** campaign materials developed and marketing plan implemented by promotions officer, working with assistant access and recreation officer to engage key stakeholders		**Milestone:** launch and ongoing development and management of campaign to meet seasonal pressures	
				Progress: new messages developed in draft, creative style and outline comms plan underway. Meeting booked in July to consult	G	**Progress:** draft messages presented to stakeholder groups including HFP steering group, farmers and rangers. Campaign plan not yet developed as post not filled	G	**Progress:**		**Progress:**	
24	Implement three year car park maintenance programme and roll out formal charges	P3	JS/AW	**Milestone:** Haytor Lower car park surfaced (depends on what trenching required for pay and display) By May12th contact contractors and get quotes for works to be undertaken early June		**Milestone:** Consultation on car park charges complete		**Milestone:** Surfacing completed at Haytor Dunnabridge, Hexworthy & Saddle Bridge. Implementation programme determined for car park meters.		**Milestone:** Infrastructure (car parking meters etc.) installed	
				Progress: Quotes for all car park works now obtained. All works to be completed - September /October	A	**Progress:** Resurfacing works on Haytor Lower, Dunnabridge, Hexworthy Bridge and Saddle Bridge completed in September ahead of deadline. Works on minor car parks now progressing. Parking charges consultation completed and reported to authority October.	G	**Progress:** Milestone met in Q2		**Progress:**	
25	Haytor Hoppa	P3	RD	**Milestone:** Prepare marketing material, sign contract for service starting on May 27th. Link to the Moor Otters campaign		**Milestone:** Ensure successful summer operation through to 16th September		**Milestone:** Review year figures and passenger survey forms. Report to LT and partners and decide on support for 2018		**Milestone: Subject to previous quarter make decision as to whether service will run in 2018**	
				Progress: Services started, Moor Otters promoted and leaflets distributed.	G	**Progress:** Haytor Hoppa had successful summer season with good passenger figures and positive anecdotal feedback.	G	**Progress:**		**Progress:**	
	Review and adopt a revised Dartmoor Local Plan			**Milestone:** LCA and LSA complete. Appoint contract for SA/SEA/HRA. Hold Member Steering Group. Parish Council Workshop. Launch Parish Council Consultation.		**Milestone:** Hold Member Steering Group. Report on Parish Council consultation. Historic Environment Topic Paper. Appoint Housing Paper support. DtC Scoping agreed. LDS Revised. LAA Report complete.		**Milestone:** Final draft IDP. Final draft OSSR. Site options review. Settlement Strategy report complete. SA options and Alternatives. Hold Member Steering Group.		**Milestone: Hold Member Steering Group. Direction of Travel Paper to Authority. SA/SEA in progress for Reg 18. SFRA complete. ELR Complete.**	

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
26		P4	DJ	**Progress:** LCA and LSA completed. Contractor for SA/SEA/HRA appointed and work commenced. Steering groups held, workshop held and consultation launched.	G	**Progress:** Steering Group held (and additional programmed). PC consultation completed. Contractor for housing support appointed. Contractor for ELR appointed. LAA completed. LDS revised. AMR complete.	G	**Progress:**		**Progress:**	
29	Contribute to the Heart of the South West Productivity Plan (in partnership with Exmoor National Park)	P5	KB	**Milestone:** Submit evidence (joint with Exmoor NPA) to LEP Rural Productivity Commission		**Milestone:** Comment on HofSW Productivity Plan and consider business case for DNPA to be a formal member of the Joint Committee to oversee the Productivity Plan. Productivity Plan due to be approved by end of September 2017		**Milestone:** Dependent on progress in Qs 1 and 2		**Milestone: Dependent on progress in Qs 1 and 2**	
				Progress: Written evidence submitted and attended a hearing to present our evidence and answer questions	G	**Progress:** Joint Committee proposals published and include NPAs as voting Members. Need Authority approval for the proposals. Productivity Plan due to be published for consultation: retains a focus on Natural Capital.	G	**Progress:**		**Progress:**	
31	Complete and review Dartmoor Naturally Healthy project, work with other NPAs on a funding application to the BIG Lottery Fund	P5	OR	**Milestone:** Ongoing interventions		**Milestone:** 6 monthly report to the Devon Public Health		**Milestone:** Completion of external evaluation. Project ends. Project Officer post ends 31/12/2017.		**Milestone:** Consider if and how to take forward the work following the evaluation	
				Progress: 12 events run throughout this quarter - providing continuity of engagement together with capacity building within the community to run their own events by project end. The model of a two week cycle alternating Walking for Health with structured activity is well received.	G	**Progress:** a further 12 events run on the 'two-weekly cycle'. Meetings with Plymouth University to agree outcomes: a practioner's 'tool-kit', a policy report to influence 'upwards' agreed; plus revision to an undergraduate teaching syllabus to include 'naturally healthy' options discussed. No progress on NPE led bid to Big Lottery Fund.	G	**Progress:**		**Progress:**	
33	Rolling programme of apprenticeships across the Authority to meet our business needs and the Government's target	P5	NW	**Milestone:** Successful appointment of two apprentices to CWT; maintain three apprenticeships across Authority in line with MTFP.		**Milestone:** Ongoing support of current apprentices and liaison with training provider(s)		**Milestone:** Ongoing support of current apprentices and liaison with training provider(s). Recruitment of CWT Apprentice (HLF)		**Milestone:** Seek interest from managers to take on apprentice(s) during 2018/19 (Digital Comms apprenticeship ends 30/09/2018.	
				Progress: Two Conservation apprentices appointed. NW maintaining input to development of new Conservation Worker Apprenticeship Standard.	G	**Progress:** Conservation apprentices in post and undertaking training programme/courses. Further input to Conservation Worker Standard.	G	**Progress:**		**Progress:**	
34	Contribute to national celebration of 70th anniversary of National Parks and Access to the Countryside Act 1949 and develop a specific programme/event for Dartmoor (2019)	P5	SH	**Milestone:** Not starting until Q3		**Milestone:** Not starting until Q3		**Milestone:** Meet with BBC to discuss proposal for a series of programmes to celebrate history of UK National Parks. (proposal submitted January 2017). Future milestones dependent on whether BBC decides to commission such a series.		**Milestone:** Scope Dartmoor event to celebrate 70th anniversary of 1949 Act	
				Progress: Not starting until Q3	G	**Progress:** Not starting until Q3	G	**Progress:**		**Progress:**	

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

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

3 November 2017

PERFORMANCE INDICATORS 2017/18

Report of the Head of Organisational Development

Recommendations : **That Members:**
(i)   note the content of the report; and
(ii)   analyse the performance for 2017/18 to date and consider any action which may be taken to maintain and/or improve good performance or to address under performance

1   Purpose of the Report

1.1   This report informs Members of the Authority's performance at Quarter 2 against agreed performance indicator targets for 2017/18 and provides an opportunity to discuss, query and challenge performance against each indicator.

2   Performance Indicators

2.1   The current performance indicator framework comprises a set of 40 indicators. The complete set of 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   Performance indicators that relate to how our services are performing (a sub-set of all performance indictors) are reported to the Audit & Governance Committee in May each year and monitored during the year (see Appendix 1).

3   Performance for the first half of the business year 2017/18

3.1   Leadership Team have recently reviewed performance against the indicators and, where the Authority is falling behind the agreed target, considered any action that may be required to ensure that the target is met or exceeded.

3.2   Members will note that performance is meeting or exceeding targets across a number of services, including the determination of planning applications and the number of visitors to our Visitor Centres, which were significantly boosted by the presence of Moor Otters.

3.3   Members are also advised that the percentage of Member attendance at Authority meetings (see S14 of appendix) during quarter 2 dropped to 78% against a target of 85%.

3.4   Leadership Team also noted that days lost to sickness absence (S12) remains a concern and is being closely monitored. Performance to Quarter 2 shows absence levels, particularly short-term absences, in excess of our target.

3.5   The HR Service is currently reviewing the attendance management procedure, undertaking further analysis of sickness records (e.g. by reason; service) and will be providing further training for staff and managers during 2018.

3.6   The Authority is signed up as a *Mindful Employer* and during September and October we provided mental health awareness training for staff and managers. In the coming months we are arranging wellbeing events, including taking good care of your back and dietary advice, delivered by professional practitioners to increase awareness of the importance of looking after ourselves.

4   Equality and Sustainability Impact

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

5   Financial Implications

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

6   Conclusion

6.1   Members will note from this report that the Authority has made good progress during the first six months of the business year.

NEIL WHITE

Background Papers:
NPA/AG/16/011

Attachments - Appendix 1 : Performance Indicators 2017/18

20171103 NW Performance Indicators 2017/18

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Targets & Outturn 2016/17		Target	Quarter 1	Quarter 2
			2015/16	Target	Outturn	2017/18		
SUSTAINConservation of the Natural and Historic Environment								
S7	a) Number of known erosion sites	RS	only 20 forms returned by deadline. Incomplete stats	43 sites left to survey for baseline	213 sites identified	213	213	213
	b) % of known erosion sites stable or improving	RS	55%	90%	**58%**	72%		
Be an Excellent Organisation								
S11	% change in CO_2e from DNPA operations **(NB: Higher Uppacott was excluded in previous years)	DH	Buildings: 112,522kg - 6.5% Transport: 101,356kg +2%	0.00%	**Buildings: 124,336kg +10.5% Transport: 99,442kg -1.9%**	Buildings: 0% Transport: 0%	Buildings: 25,973kg -0.90% Transport: 25,347kg +2.32%	Buildings: 21,989kg +10.10% Transport: 26,981kg +11.60%
			Overall: 213,876kg -2.45%		**Overall: 223,778kg +4.6%**	Overall: 0%		Year to date: Bldgs: 47,962kg Transport: 52,328kg
S12	Number of working days lost due to sickness per Full Time Equivalent (FTE)							
	a) including long term absence	NW	9.78	7	**7.78**	7	7.18	7.02
	b) excluding long term absence		4.19	4	**4.19**	4	4.78	4.72
S13	% of enforcement cases resolved without the need for formal action	JA/NS	93.10%	90.00%	**91.4%**	90%	93.3%	87.0%
S14	% of Membership attending Authority meetings	PB	Authority: 81% Development Mgt: 86% Audit & Gov'nce: 78% Overall attendance: 83%	84%	**Authority: 85% Development Mgt: 86% Audit & Gov'nce: 85% Overall attendance: 85%**	Authority: 85% Development Mgt: 86% Audit & Gov'nce: 85% Overall attendance: 85%	Authority: 82% Development Mgt: 89.5% (No Audit & Gov'nce mtg held) Overall attendance: 85.5%	Authority: 77% Development Mgt: 79% (No A&G) Overall attendance : 78%
S15	% of invoices paid on time	CAR	99.92%	98.00%	**99.91%**	98%	100%	99.69%

Performance Indicators 2017/18

| Ref No. | How will we measure our achievement | Responsible Officer | Outturn 2015/16 | Targets & Outturn 2016/17 | | Target | Quarter 1 | Quarter 2 |
			2015/16	Target	Outturn	2017/18		
S16	% of planning applicants satisfied with quality of the service received	CH/JA	Not collected	89%	**Survey not be conducted in 2016/17 (will be undertaken in 2017/18)**	89%		
S17	% of appeals allowed against DNPA decision to refuse consent (low figure is positive)	CH/JA	43.70%	33.00%	**40%**	33%	28.5%	25%
ENJOY Promote a positive experience of Dartmoor National Park for Residents and Visitors								
E1	Number of visitors to Visitor Centres at:	RD	173,426	175,000	**183,252**	185,000		
	a) Haytor	RD	40,804	47,000	**46,157**	47,000	16,103	26,073
	b) Postbridge	RD	59,150	55,000	**57,811**	58,000	19,752	28,058
	c) Princetown	RD	73,472	73,000	**79,284**	80,000	24,568	33,845
E4	a) Number of litter bags collected by DNPA staff or volunteers	RS	704	600	**1016**	850	307	341
	b) Cost of disposing of litter collected (includes Tavi Taskforce collection costs)	RS	£19,470	£22,250	**£18,157**	£22,000	£3,401	£5,039
E6	Residents' satisfaction survey	DH	Frequency of reporting: every 3 years	Due in 2016/17	**Will be completed in May 2017**	Not due until 2019/20		
E7	Vistors Satisfaction: (a) survey	RD	Frequency of reporting: 3 years (Survey to be developed)	Survey completed	**99% of the 306 people surveyed would recommend a visit to Dartmoor to other people**	98% recommend a visit to Dartmoor		
	(b) Trip Advisor (stars achieved)	RD	4.5 stars	4.5	**4.5 stars average over 75 reviews**	4.5 stars	25 reviews 4.6 stars	26 reviews 4.5 stars
E9	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)	NW	466 17.9%	500	**412.5 29%**	500	51 (35%)	121 (26%)

Performance Indicators 2017/18

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16 2015/16	Targets & Outturn 2016/17 Target	Outturn	Target 2017/18	Quarter 1	Quarter 2
E10	Number of large scale organised events notified to the Authority and subsequently held on Dartmoor National Park (NB figures for large on road cycle "sportives" that we are not consulted on, are shown in brackets)	AW	48	no target - record of trends	**44**	no target - record of trends	8	31
	number of people participating	AW	11,303 (6,538)	reduce number of very large events	**8132 (6500)**	reduce number of very large events		5,870
E11*	Public engagement events	CP	n/a (new PI from 2017/18)	n/a (new PI from 2017/18)	n/a (new PI from 2017/18)	no target - pilot year 2017/18	55 events (1315 people)	43 events (3684 people)
PROSPER Work towards ensuring Dartmoor has a thriving economy								
P1	% of planning applications dealt with in a timely manner:							
	a) major applications determined within 13 weeks *If over 13 weeks Nos of PPAs or Exts	CH (TJ)	50% *1	60%	33% *2	50%	N/A	0% (2)
	b) minor applications determined within 8 weeks	CH (TJ)	74%	65%	**69.60%**	65%	65.96%	65.40%
	c) other applications determined within 8 weeks	CH (TJ)	85%	80%	**82.80%**	80%	89.36%	84.60%
P2	a) % of all planning applications determined which have been approved	CH (TJ)	88.50%	no target - success is positive decisions for Dartmoor	**88.60%**	no target - success is positive decisions for Dartmoor	87.94%	89.40%
	b) % of pre-applications for minor and householder applications which have been dealt with within 28 days	CH (TJ)	n/a	new PI - baseline year	**77.90%**	90%	82.78%	91.00%
	c) % of pre-applications for major applications which have been dealt with within 42 days	CH (TJ)	n/a	new PI - baseline year	**73.30%**	85%	N/A	50.00%
P3	a) Total number of volunteer days organised or supported by the NPA	NW	2601	2,600	**1,481.50**	2600	175	524.5
			£75/vol day	£75/volunteer day		£75/volunteer day		
	b) Value (expressed in £) of volunteer days	NW (via NPE)	£195,075	£195,000	**£111,112.50**	£195,000	£13,125	£39,338

| Ref No. | How will we measure our achievement | Responsible Officer | Outturn 2015/16 | Targets & Outturn 2016/17 | | Target | Quarter 1 | Quarter 2 |
			2015/16	Target	Outturn	2017/18		
P5	Number of affordable housing units approved	DJ	13	30	**10 A total of 18 units have been resolved to grant subject to S106 which has not yet been signed. 20 units on Chagford Masterplan site also awaiting S106 completion**	16	8	28
P7	Premises able to access superfast broadband as a % of total premises of National Park	JR	BT superfast coverage at the end of December 2015 was 50%of premises in the National Park. A further 4% of premises could receive a significant uplift in speeds of 15 to 24Mbps	75% of Dartmoor premises by end of 2016	**76%**	95% of Dartmoor & Exmoor		
Improve support to and engagement with local communities								
P8	Media articles in WMN & Tindle Group [Dartmoor] papers	SH	498	350	**414**	400	121	111
	Number of:							
P9	a) Followers on Social Media	SH	10,200	20,000	**21,703**	25,000	23,476	25,120
	b) Subcribers to e-communications (running total)	SH	1,276	2,000	**2,188**	2,750	2,231	2,363
	c) % opened	SH	44%	45%	**42.50%**	45%	41%	42%
P10	Number of unique visitors to website & page views	AB	357,086 / 2,963,307	350,000 / 3,000,000	**346,585 / 2,751,830**	350,000/ 2,000,000	98,143 / 435,840	81,136 / 379,679
	% of Parish meetings attended at least once in the year	PB	91.5% (43 of 47)	86%	**72% (34 of 47)**	86%		

Performance Indicators 2017/18

| Ref No. | How will we measure our achievement | Responsible Officer | Outturn 2015/16 | Targets & Outturn 2016/17 | | Target | Quarter 1 | Quarter 2 |
			2015/16	Target	Outturn	2017/18		
P11	Number of Parish meetings attended by:							
	a) Rangers Officers	PB	41	47	35	47	23	1
	b) Members	PB	46		31		4	7
P12	DNPA attendance at Local shows							
	a) Number of shows attended	CP	17	17	15	17	2	16
	b) Number of contacts made	CP	1,694	2,000	1,903	1800	220	2,151
P13	Number of parishes engaged in preparing a community led plan during the year with advice /assistance from DNPA	JR	8	6	7	6	9	10
P14	Donate for Dartmoor - Nature Fund	LT	N/A	baseline year	£581	Target for whole fund £18,000	£169.52	£429
P14	Donate for Dartmoor - Recreational Fund	LT	N/A	baseline year	£14,477		£2,380.22	£1,609
P14	Donate for Dartmoor - Cultural Heritage Fund	LT	N/A	baseline year	£339		£100.55	£370
P14	Donate for Dartmoor - General Fund	LT	N/A	baseline year	£4,537		£865.90	£1,846
P14	£ for the Park			£11,000	£8,987	PI to be deleted		

*E11 New indicator to capture wider data on ways in which DNPA engages with communiites. Replaces old E11 - which measured just a subset of data.

*P10 Target for page views reduced this year to reflect the reduction in the total number of pages on the new website

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

3 November 2017

2017/18 STRATEGIC RISK REGISTER

<u>Report of the Head of Organisational Development</u>

<u>Recommendation</u>: **That Members approve the updated Strategic Risk Register for 2017/18 attached at Appendix 1**

1   Background

1.1   The Strategic Risk Register forms part of the Authority's overall risk management strategy.

1.2   While the formal recording of risk management information is clearly important, equally important are the discussions and dialogues that take place about identifying and managing risks across all areas from the individual to the organisational.

2   Monitoring and Reporting Framework

2.1   As part of the risk management strategy it is important that Members review the strategic risks for the Authority in order to raise issues for further consideration and highlight possible areas of risk for addition or deletion.

2.2   Appendix 1 contains the updated Strategic Risk Register for 2017/18 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).

2.3   The risk ratings (current and planned) are scored and colour coded as follows:

- 0 – 9 = Green – risk accepted;
- 10 – 19 = Yellow - needs attention;
- 20 – 25 = Red – cause for concern.

2.4   Leadership Team monitors and reviews the Strategic Risk Register on a quarterly basis and has recently updated the Register in light of changing circumstances so we are clear about potential risks and how we might mitigate these.

2.5   The Register has four categories of risk: Performance, Strategy, Finance and Governance. Members will note some additional actions agreed since the Register was last reported in May 2017 (Authority). These include plans to pilot new content in parish and community newsletters (P2), a review of Audit & Governance Committee terms of reference and provision of training for all Members and Leadership Team (P4) and scoping the potential recruitment of a Graduate Planner (S4).

2.6   Leadership Team has revised and clarified the strategic risks relating to managing officer workload and workforce resilience (S3 & S4) and also removed Moor Otters (formerly F5) from the register.

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

2.8   The Strategic Risk Register is reported to the Audit & Governance Committee in May and November each year.

NEIL WHITE

Background Papers: NPA/17/020

Attachments: Appendix 1 – 2017/18 Strategic Risk Register

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Draft for approval by Audit & Governance Committee 03/11/2017

Risk Category: PERFORMANCE

Risk Ref P1	Risk Description Ineffective internal communication	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Consequence if no action Lack of understanding of objectives, targets, priorities, issues and challenges Dis-engaged staff create a poor impression of DNPA when in-contact with the public and our stakeholders	Leadership Team meets every Monday morning for a quick communication catch up. Messages are then disseminated as appropriate. Key messages are reported in regular 'In Touch' newsletter, supplemented by specific newsletters as required. Monday Message is a regular communication tool from Chief Executive to all staff and Members. "Golden thread" linking Management Plan and Business Plan with individual appraisals & 1:1s. Annual *Team Dartmoor Day* and individual *Team Dartmoor* days. Regular service and team meetings 'Time Well Spent' middle managers meeting Intranet & website Regular briefings to Members and two officer/Member working panels	2	4	8

Additional control measures planned

Organisational Development Strategy "Developing Team Dartmoor" has a specific focus on improving internal communication and employee engagement. New staff survey introduced in 2015; to be repeated in 2017.
Improved staff induction process in 2016/17 including Team Dartmoor 'charter'. Communication methods constantly reviewed and mixture of written and face to face utilised. Need to consider how we keep Members informed and receive feedback from them about the views and issues that are communicated to them. Leadership Team will keep a focus on this issue.

Resources required: Staff & Member time is needed to participate fully

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	1	4	4

Outcome
Ensure staff are able to contribute and feel valued
Staff and members are ambassadors for the organisation
Promote full understanding and ownership of the Authority's work, priorities and change agenda
Develop a better understanding of the Authority and its work

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P2	Inadequate external communication and community engagement				
	Consequence if no action Damage to reputation. Poor support from community, business & stakeholders Lack of understanding of the value of DNPA and the work it does Confusion with other organisations Projects not supported as no 'buy-in' from stakeholders	Communications strategy agreed and being implemented; picks up organisational 'narrative' and plan to deliver improved two-way communications with our key audiences. Supporting communication tools include: Media briefings & releases. Authority publications. Authority Website Variety of forums Social media and targeted e-newsletters Surveys	3	3	9

Additional control measures planned
Communications & Community engagement are priorities for the Authority. A communications strategy has been developed to address a clearer, more strategic approach to organisational communications as well as supporting staff and members to engage in two-way communications with their key audiences. This will be implemented over the next two years. Residents' survey undertaken in 2013 and 2017 (to be repeated 2019/20) and outcomes have been used to improve communication with local communities. Planning Service user satisfaction surveys undertaken periodically (next due 2017/18) 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. Pilot new content in parish/community magazines/newsletters to improve awareness and understanding of our work.

Resources required: Staff time will be needed to communicate and engage with local residents and prepare materials

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	3	6

Outcome
A greater understanding of what DNPA does in relation to Dartmoor the place, so people value and support the work we do A good reputation as an organisation that listens and understands Excellent relationships with our communities and stakeholders Promoting understanding and enjoyment of Dartmoor's special qualities Ensure staff are able to contribute and feel valued

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P3	Inadequate Information Management and Information Technology System failure. Inadequate Business Continuity Planning.				
	Consequence if no action Non compliance with legislation. Inability to provide core services. Loss of reputation. Impact on service delivery. Breakdown of communication. Delays/failure to update records.	ICT 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	2	2	4

Additional control measures planned
Upgrade firewall in 2017 to new industry standard appliance.

Resources required				
Head of ICT & Premises				
Planned Residual Risk		Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
		2	2	4

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

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P4	Inadequate focus on Performance Management (including customer service)				
	Consequence if no action Individual and organisational performance not monitored. Low achieving Authority Unclear targets and objectives. Resources not targeted Reputational risk for the Authority. More complaints.	Business Plan & Annual Review Organisational Development Strategy Service planning/Service dashboards Audit & Governance Committee with clear remit to monitor and challenge performance. Suite of PIs 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. Agreed new Performance Improvement Policy Customer Service Standards introduced 2016/17	3	3	9

Additional control measures planned			
Review Audit and Governance Committee (terms of reference) and provide training for all members to help with their role to challenge, scrutinise and gain assurance, especially in areas such as audit, finance, performance and governance			

Resources required: Staff time			
Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	3	6

Outcome
Good performing organisation, with evidence of continuous improvement

Risk Category: PERFORMANCE

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P5	Lack of support and resources from partners and stakeholders to deliver on the actions in the Management Plan				
	Consequence if no action Management Plan actions not undertaken Ambitions not delivered	Extensive engagement with partners and stakeholders in development of the current NPMP (which will be replicated as the new NPMP is produced). Pre-consultation to ensure partners are agreeable with actions and nominated lead organisation and understand their role, responsibilities and accountabilities Delivery Board Actions plans are reviewed and revised annually to take into consideration changes circumstances/ resources Progress is monitored via a system of steering groups for each theme (with a wide membership) and an overarching Delivery Board, comprising key stakeholders, engaged in project delivery.	3	3	9

Additional control measures planned

Due to commence review of the Management Plan during 2017/18 this should provide a further opportunity to ensure that there is support for the Management Plan on an ongoing basis

Resources required: Staff time

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	3	6

Outcome
Clear agreed vision for the National Park
Actions to achieve the Vision shared and owned by delivery partners
Clear process for monitoring delivery and assessing progress towards the Vision

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: PERFORMANCE

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

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

Risk Category: STRATEGY

Risk Ref S1	Risk Description Failure to implement a robust culture of risk assessment and risk management.	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Consequence if no action Disruption to service delivery. Waste of financial resources as number and cost of losses escalate. Increasing cost or unavailability of insurance cover. Critical reports by external audit. Increase likelihood of major loss/incident. Loss of reputation.	Risk Management Strategy Risks monitored by A&G 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 Revised SLA with Teignbridge District Council implemented in 2017/18 to provide operational H&S support and compliance. New SLA with Peak District National Park Authority (2017-2020) to provide strategic advice and joint working with other NPAs. to improve culture and health and safety management. Risk assessment training provided regularly to relevant officers and further training available. H&S training provided at induction.	2	3	6

Additional control measures planned
Reviewed health and safety management in 2016/17; revised SLAs with TDC and PDNPA from 2017/18. Head of Organisational Development attended IOSH 'Leading Safely' course in June 2017. All of LT will attend over next 2 years. Increased focus on strategic management of occupational health and safety – key competencies and KPIs being developed. New health and safety training programme to be introduced in 2017/18 (including risk assessments).

Resources required: None

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	3	6

Outcome
Risk based approach embedded in culture of the organisation.
All risks effectively managed.

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: STRATEGY

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

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S3	Managing officer workload. Our challenge will always be to ensure we set realistic work programmes but also improve organisational 'productivity'				
	Consequence if no action Failure to deliver corporate objectives. High stress levels and staff absence. Targets/improvement not achieved Staff unclear of roles & responsibilities in new structure	HR Policies; Business Plan, Appraisal 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 to managers and focus on developing management skills. Proactive attendance management; provision of Employee Assistance Programme; OH service. Quarterly review and discussion at LT identifying any pressure points and where additional support may be required. Provision of the Project Fund within the budget to enable Officers to make in-year bids for additional resource.	3	5	15

Additional control measures planned

The snap General Election (June 2017) added a degree of uncertainty regarding future funding and policy priorities which we will need to consider when we know the outcomes of the new Government's comprehensive spending review (due to commence Autumn 2017)

Resources required: Staff time and resources to deliver an effective programme.
May need external support – can be funded via the Project Fund

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	3	5	15

Outcome
Well informed, motivated workforce
Effective leadership
Appropriately supported and trained staff

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S4	Workforce planning/resilience: limited capacity to cover for absences of key posts. Difficulty to recruit to certain posts.				
	Consequence if no action Reduced capacity/productivity Service pressures could lead to 'bad' decisions and high stress levels Poor performance Increase in complaints Contracts and obligations not fulfilled	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 in place (Finance, ICT) • LT regularly review workforce planning and impact of staff absence • LT strategic meetings consider future work programmes / direction of travel	5	5	25

Additional control measures planned

This will remain an area of high risk given the size and scope of our organisation and operations. Senior Officers, service managers, project officers and specialist staff are fundamental to our performance and success as an Authority, therefore any significant absences can have a real impact on delivery. Scoping recruitment of Graduate Planner as this has been an area where we have experienced difficulty in recruiting in recent years.

Resources required: Staff time and resources to deliver an effective programme. May need external support

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	4	5	20

Outcome
Well informed, motivated workforce
Effective leadership
Appropriately supported and trained staff

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S5	Superfast Broadband Project (Connecting Dartmoor & Exmoor NPAs) – risks associated with project for DNPA				
	Consequence if no action Staff capacity to manage planning applications Planning application sites not in keeping with policy, local opposition and potential for DNPA to refuse – project delayed Reputational risk arising from DNPA planning seen to be preventing project progress Technologies not working effectively Communities not taking up broadband Coverage not meeting Govt target of 96% by end of 2017 Financial loss if project not delivered: £65k match funding committed	Communities Officer to meet regularly with CDS to ensure project runs smoothly Identified Planning Team Manager to lead with support from identified planning officer Effective communications strategy/plan with communities Pre-application site visits and advice on most suitable locations for masts to enable a fully functioning network can be delivered	2	5	10

Additional control measures planned				
Effective project management (Red) - regular updates to Leadership Team throughout				

Resources required: Staff time to manage project (Communities Officer) and planning officer time to advise on and process planning applications

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	4	8

Outcome
Project delivered on time with effective communications to all stakeholders throughout

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: FINANCE

Risk Ref F1	Risk Description Potential for further reductions in National Park Grant (NPG) which is still our main source of income	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Consequence if no action Insufficient funds to meet statutory requirements and delivery of National Park Purposes. Failure to meet Performance Targets	Authority has set a balanced budget for 2017/18 and has approved a new and robust MTFP. Ongoing workforce and resource planning to match revenue and resources to deliver outcomes Developing new strategies and ideas to generate other income streams, to reduce reliance on NPG Robust level of Reserve Balances maintained Strong budget management and procurement performance and evidence of using resources efficiently and effectively	4	5	20

Additional control measures planned
The snap General Election has provided a degree of uncertainty about future funding. We had a funding settlement that lasted for the duration of the Parliament but that was due to run until 2020. We will need to re-consider when we are clear about the new Government, its priorities and funding strategy. We are taking steps to diversify our income streams (e.g. introduction of car park charging and external fundraising initiatives such as Moor Otters) 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: Officer time

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	4	4	16

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

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F2	Inadequate financial management				
	Consequence if no action Unfunded budget variance. Under spend of core grant Reputational damage	Robust Budget monitoring and procurement process. Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Staff training on procurement rules and procedures Devolved budgets with clear accountability supported by timely and accurate financial reporting Quarterly reports to Leadership Team & A&G Committee Training for staff in financial management	2	4	8

Additional control measures planned					
On-going training for staff in financial management and procurement Capacity issues are recognised and extra support is brought in to progress work programmes					
Resources required: Staff time and training resources					

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	1	4	4

Outcome	
Financial outturn on target	

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: FINANCE

Risk Ref **F3**	Risk Description Appeals, Public Enquiries and enforcement action could expose the Authority to considerable financial risks and create poor PR	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Consequence if no action Bad decisions that damage Dartmoor Additional costs and significant budget overspend Loss of public confidence Poor PR	Legal services review all appeal files External legal advice and support obtained where necessary Priority area of work for legal team and development management team Good Practice Guide for Members and officers (planning) Enforcement Policy	3	5	15

Additional control measures planned
Procure expert input when necessary Clear project management arrangements for high profile cases Clear operational procedures to support Enforcement Policy Review of Legal and Democratic and Legal Services planned for 2017/18 due to the ending of the Service Level Agreement with Devon County Council

Resources required: Staff time and financial resources

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	3	6

Outcome
All decisions are lawful, in accordance with advice and can be supported on appeal Public confidence in decisions Minimise payment of costs

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F4	*Moor than meets the eye* Heritage Lottery Fund Landscape Partnership Scheme: risk to the Authority as lead partners regarding cash flow and reputation				
	Consequence if no action Reputational damage if the scheme is not delivered on time and to budget Potential cash flow issues for the Authority if the scheme is not delivered on time and to budget Reputational issues for the Authority as lead partners if local community not engaged and supportive of all projects	Scheme Manager appointed with strong project management experience. Continued dialogue through quarterly monitoring meetings with Community Stakeholders Group, Landscape Partnership Board, HLF and project Leads to share Scheme, Project and risk management Agreed Communications Strategy and Plan implemented and reviewed yearly. Some slippage is likely over the 5 year period, need to ensure implications are discussed and revisions agreed with Board and partners. Quarterly Landscape Partnership Board, HLF Monitoring and budget monitoring with DNPA Head of Business Support meetings. Detailed performance reports to Audit & Governance Committee and yearly review to Authority in December	3	5	15

Additional control measures planned

Scheme Manager to focus on strategic delivery of the Scheme – to include finance and performance management. Changes and risk to delivery identified early. Risk to be continually monitored. Role of Landscape Partnership Scheme Board is strategic.

Resources required: Staff time and financial resources

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	4	8

Outcome
Prompt action when slippage or new risk identified resulting in successful delivery of the scheme.

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G1	Fraud & Corruption				
	Consequence if no action Misappropriation of Authority resources (not always financial)	Financial Regulations. Standing Orders. Prosecution deterrent. Internal checks / controls. Scheme of delegation. Internal / External Audit. Whistle-blowing Policy. Bank Reconciliation. IT Firewall. IT security / passwords. Anti-fraud & corruption policy in place. Information security policy	1	2	2

Additional control measures planned					
Risks monitored especially during financially difficult times					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	2	2
Outcome Staff aware of risks and controls regarding fraud & corruption					

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G2	Inadequate procurement practice				
	Consequence if no action Failure of partners/contractors Schemes not delivered on time or over budget. Damage to reputation. Value for Money not achieved Sustainability principles not applied Procurement rules not followed providing opportunity for challenge	Member of Devon & Cornwall Procurement Partnership. Financial appraisal. Risk Assessments. OJEU/Tender process. Contract conditions. Contract management Contractor Vetting Insurance Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Staff training on procurement rules and procedures Project Management Training	2	3	6

Additional control measures planned			
On-going staff training on procurement rules and procedures and project management			

Resources required			
Staff time and potentially resources if purchasing is to adopt more sustainable principles			

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	3	6

Outcome
All procurement undertaken within policies, procedures & legislation

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: GOVERNANCE

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

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: GOVERNANCE

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

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2017/18

Risk Category: GOVERNANCE

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

Red = Cause for Concern – scores 20-25   Yellow = Needs Attention – scores 10-19   Green = Ok – scores 0-9