

The Annual Audit Letter for Dartmoor National Park Authority

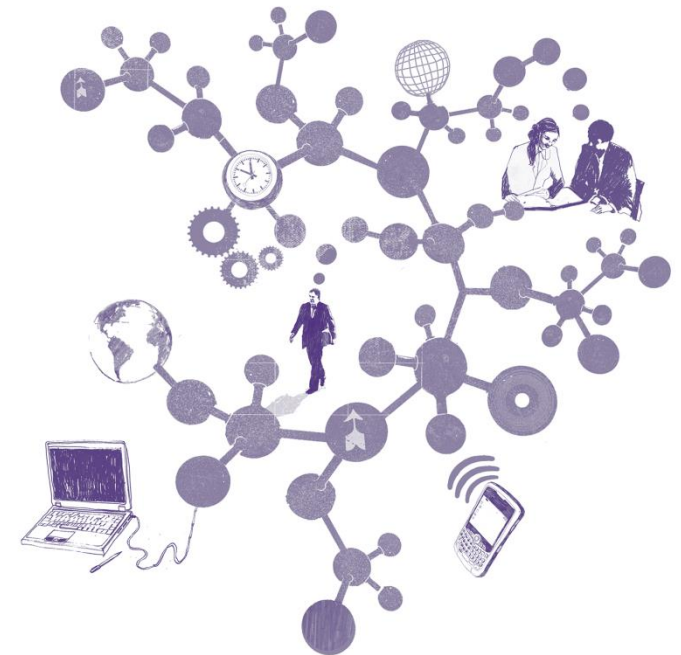
Year ended 31 March 2015

21 October 2015

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Key messages

Our Annual Audit Letter summarises the key findings arising from the work that we have carried out at Dartmoor National Park Authority ('the Authority') for the year ended 31 March 2015.

The Letter is intended to communicate key messages to the Authority and external stakeholders, including members of the public. Our annual work programme, which includes nationally prescribed and locally determined work, has been undertaken in accordance with the Audit Plan that we issued on 15 May 2015 and was conducted in accordance with the Audit Commission's Code of Audit Practice, International Standards on Auditing (UK and Ireland) and other guidance issued by the Audit Commission and Public Sector Audit Appointments Limited.

Financial statements audit (including audit opinion)	<p>We reported our findings arising from the audit of the financial statements in our Audit Findings Report on 4 September 2015 to the Authority. The key messages reported were:</p> <ul style="list-style-type: none">• the draft financial statements and the supporting working papers were prepared to a high standard. The Authority dealt with our additional audit requests and queries in a timely manner.• we issued an unqualified opinion on the Authority's 2014/15 financial statements on 21 September 2015, meeting the deadline set by the Department for Communities and Local Government. Our opinion confirmed that the financial statements gave a true and fair view of the Authority's financial position and of the income and expenditure recorded by the Authority.
Value for Money (VfM) conclusion	<p>Following our review of the Authority's Annual Governance Statement for 2014/15, we have concluded that there were no matters to report.</p> <p>On the basis of our work, and having regard to the guidance on the specified criteria published by the Audit Commission, we were satisfied that in all significant respects the Authority put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2015.</p>

Key messages continued

Whole of Government Accounts	We considered the Authority's audited financial statements in relation to the production of Whole of Government Accounts and concluded that the Authority's pack and audited financial statements were below the threshold to audit.
Audit fee	Our fee for 2014/15 was £11,807, excluding VAT which was in line with our planned fee for the year. Further detail is included within appendix B.

Appendix A: Key issues and recommendations

This appendix summarised the significant recommendations identified during the 2014/15 audit.

No.	Issue and recommendation	Priority	Management response/ responsible office/ due date
1.	<p>Recommendation: Review payroll variances identified in a timely manner.</p>	Medium	<p>Management have accepted the recommendation. The variance report was introduced by HR in 2012 to provide a further layer of checks to payroll reconciliation in addition to monthly instructions, claims and adjustments being checked manually. Management commented it was time consuming to produce which was a factor in the checks not being done in a timely manner. It was arranged for the payroll provider HR One to provide an automatic exception report on a monthly basis which is then checked. A sample report was provided (Feb 2015) for review to set up as a monthly process.</p> <p>Management had two actions:</p> <ul style="list-style-type: none"> 1- Complete checks from January 2015 to March 2015 immediately. 2- Introduce a new monthly report (provided by HR One) and ensure robust process is established to check it so if lead officer is not available or does not have capacity another team member completes the check on time. <p>Responsible office: Neil White Head of Human Resources/Head of Organisational Development. Due date: 30 April 2015 (from April 2015 pay run onwards)</p>

Appendix B: Reports issued and fees

We confirm below the fees charged for the audit and non-audit services.

Fees for audit services

	Per Audit plan £	Actual fees £
Authority audit	11,807	11,807
Total audit fees	11,807	11,807

Fees for other services

Service	Fees £
Non-audit related services	nil

Reports issued

Report	Date issued
Audit Plan	15 May 2015
Audit Findings Report	4 September 2015
Certification Report	21 September 2015
Annual Audit Letter	21 October 2015



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DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 November 2015

PERFORMANCE MANAGEMENT FRAMEWORK

Report of the Chief Executive (National Park Officer)

Recommendations : That Members note the content of the report and comment on the proposed amendments to the Authority's Performance Management Framework

1 Purpose of the Report

1.1 This report is to explain the proposed changes to the Authority's Performance Management Framework that are being introduced during 2015/16.

2 Performance Management Framework

2.1 We are developing a performance management framework that will comprise a number of related components:

- Business Plan monitor
- Service dashboard
- Performance indicators
- Budget monitoring

2.2 These measures should help members of the Audit and Governance Committee discharge their role in scrutinising the activity of the Authority with particular reference to its governance, performance and use of resources (including human resources).

Business Plan Monitor

2.3 The Business Plan Monitor (see NPA/AG/15/011) details progress in implementing the key actions identified in the Business Plan to achieve our agreed priorities. Progress is reported (using a traffic light system) against agreed milestones for each quarter (where relevant). In summary, this monitoring tool will enable Members to track progress in delivering the Business Plan. It will be reported to each meeting of the Committee with a draft annual review of achievements against the Business Plan presented to the May meeting of the Committee.

Dashboards

2.4 We are developing a series of 'dashboards' for our key services. The dashboards will provide information on the service provided, pressure points and key achievements. They will enable Audit and Governance Committee to have an overview of all of our key services. The current set of performance indicators does

not reflect all of the services we offer and provides little opportunity to explain key achievements and pressure points. We are conscious of staff workloads and the system is being designed to minimise additional work: much of the data that is being presented is already collected.

- 2.5 It is proposed that the dashboards will be reported annually using the following reporting schedule:

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

February meeting - Development Management; Enforcement; Archaeology; Listed Buildings; Ecology; Conservation Works

May meeting – Business Support; Legal, Human Resources; Community and Economy; Hill Farm Project

- 2.6 However, Audit and Governance Committee can always call for additional information and/or a change to the reporting schedule. It is envisaged that the lead officer for the service area will attend the relevant Audit and Governance committee meeting when their dashboard is presented to answer any questions from Members.
- 2.7 It should be noted that the dashboards will often focus on 'input' and 'output' measures; they will not present 'outcome' information – i.e the impact of our services in terms of the 'difference made'.

Performance Indicators

- 2.8 Our current performance indicator framework comprises a set of 42 indicators (see appendix 1). These will continue to be used to report our performance for 2015/16 but our intention is to review these indicators and bring forward proposed changes for agreement by the end of the current financial year. The current 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). In reviewing this set of indicators we need to be clear about what we are seeking to achieve and how this process relates to the separate reporting framework for the National Park Management Plan.

Budget Monitoring

- 2.9 There are no plans to alter the reporting of financial performance. Budget monitoring reports will continue to be presented to each meeting of the Committee.

3 Financial Implications

- 3.1 The proposed amendments to the performance management framework are being designed not to have a significant financial implication and/or to increase staff workload

4 Conclusion

- 4.1 The proposed amendments outlined above will be phased in during 2015/16 and kept under review. They are being designed to ensure that Members of the Audit and Governance Committee have the information required to scrutinise all of our service areas and to track progress against the agreed Business Plan.

KEVIN BISHOP

Attachments: Appendix 1 - Agreed Performance Indicators for 2015/16

20151106 KDB Performance Monitoring Framework

Performance Indicators Framework 2015/16

Appendix 1 to Report No. NPA/AG/15/010

Ref No.	How will we measure our achievement	Responsible Officer
SUSTAIN		
Conservation of the Natural and Historic Environment		
S1(a)	% of SSI land in the National Park as a whole in	NB
	a) favourable condition	NB
	b) unfavourable recovering	NB
	c) unfavourable declining	NB
S1(b)	% of SSI land in NPA management in:	NB
	a) favourable condition	NB
	b) unfavourable recovering	NB
	c) unfavourable declining	NB
S2	Number of Listed Buildings 'at risk' conserved during the last 3 years	KM
S3	Number of scheduled monuments 'at high or medium risk' conserved during the last 3 years	AC
S4	% Length of water courses with 'high' or 'good' ecological status	NB
S4	% Length of water courses with 'moderate' ecological status	NB
S5	Populations of (i) Vigur's Eyebright, (ii) Southern Damselfly and (iii) Marsh Fritillary which have remained stable or have increased on Dartmoor, when assessed over the previous 5 years	NB
S6	% of County Wildlife Sites in good condition	NB
S7	a) Number of known erosion sites	RS/SB
	b) % of known erosion sites stable or improving	RS/SB
Work to support farming systems that help sustain Dartmoor		
S8	% of utilisable agricultural land in National Park under agri-environment schemes (2013/14 baseline year)	AK
S9	a) Number of farmers receiving training relating to agriculture and/or forestry	HFP
	b) % of farmers successfully completing training	HFP
	c) % of participants expected to apply the acquired skill(s) in practice	HFP
Be an Excellent Organisation		
S10	% of income derived from sources other than National Park Grant	DH
S11	% change in CO ₂ e from DNPA operations	Finance
S12	Number of working days lost due to sickness per Full Time Equivalent (FTE)	NW
	a) including long term absence	NW
	b) excluding long term absence	NW
S13	% of enforcement cases resolved without the need for formal action	NS

Performance Indicators Framework 2015/16

Ref No.	How will we measure our achievement	Responsible Officer
S14	% of Membership attending Authority meetings	CRW
S15	% of invoices paid on time	CAR
S16	% of planning applicants satisfied with quality of the service received	SBe/Planning
S17	% of appeals allowed against DNPA decision to refuse consent (low figure is positive)	SBe/Planning
ENJOY Promote a positive experience of Dartmoor National Park for Residents and Visitors		
E1	Number of visitors to Visitor Centres at:	RD
	a) Haytor	
	b) Postbridge	
	c) Princetown	
E2	% of total length of footpaths and other rights of way easy to use by members of the public (even though they may not follow the exact definitive line)	AW/SB
E3	Number of visitors to the National Park	RD
E4	a) Number of litter bags collected by DNPA staff or volunteers	RS/SB
	b) Cost of disposing of litter collected (includes Tavi Taskforce collection costs)	RS/SB
E6	Residents' satisfaction survey	
E7	Visitors satisfaction survey - work for 2014/15	RD
E9	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)	OR/RS/SB
E10	Number of large scale organised events notified to the Authority and subsequently held on Dartmoor National Park (NB figures for large on road cycle "sportives" that we are not consulted on, are shown in brackets)	AW/SB
	a) number of people participating	AW/SB
	b) £ for the Park received	AW
E11	Number of events organised by DNPA	CP
	a) Number of people attending	CP
	b) % satisfied or very satisfied with the events	OR
New Family PI	Promoting Understanding: All Parks to submit a paragraph giving a 'case study' snapshot of what has been achieved (max 150 words): 1) The strategic fit / why the work is a priority to the NPA; 2) Identify key activities undertaken; 3) Provide some quantifiable outputs; 4) Information on outcomes where ever possible	LT
PROSPER Work towards ensuring Dartmoor has a thriving economy		
D1	% of planning applications dealt with in a timely manner:	SBe/Planning
	a) major applications determined within 13 weeks *If over 13 weeks Nos of PPAs or Exts	SBe/Planning

Performance Indicators Framework 2015/16

Ref No.	How will we measure our achievement	Responsible Officer
P1	b) minor applications determined within 8 weeks	SBe/Planning
	c) other applications determined within 8 weeks	SBe/Planning
P2	% of all planning applications determined which have been approved	SBe/Planning
	a) % of new residential and householder approved	SBe/Planning
	b) % of non-residential approved	SBe/Planning
	% of Planning applicants satisfied with the quality of service received	SBe/Planning
P3	a) Total number of volunteer days organised or supported by the NPA	NW/RS/SB
	b) Value (expressed in £) of volunteer days	NW/Finance
P4	Visitor spend in Dartmoor National Park (STEAM)	RD
P5	Number of affordable housing units approved	DJ
P6	Net additional employment floor space approved	SBe/Planning
P7	Premises able to access superfast broadband as a % of total premises of National Park	JR
Improve support to and engagement with local communities		
P8	Media articles in WMN & Tindle Group [Dartmoor] papers	SH/MN
P9	Number of:	
	a) Followers on twitter	SH/MN
	b) Subscribers to e-communications (running total)	SH/MN
	c) % opened	SH/MN
P10	Number of unique visitors to website & page views	AB
P11	% of Parish meetings attended at least once in the year	CRW
	Number of Parish meetings attended by:	CRW
	a) Rangers Officers	SB/CRW
	b) Members	CRW
P12	DNPA attendance at Local shows	CP
	a) Number of shows attended	CP
	b) Number of contacts made	CP
P13	Number of parishes engaged in preparing a community led plan during the year with advice /assistance from DNPA	JR

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 November 2015

BUSINESS PLAN MONITORING 2015/16

Report of the Head of Organisational Development

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

1 Purpose of the Report

- 1.1 This report is to inform Members of performance against the key actions identified in the Authority's Business Plan for 2015/16.
- 1.2 Appendix 1 details progress in delivering all of the key actions identified in the 2015/16 Business Plan to achieve our agreed priorities. For each key action the lead officer is identified and expected and actual progress is reported for each quarter.

A traffic light system indicates progress for each key action:

Green – on target to complete

Amber – some concern regarding progress

Red – little or no progress; unlikely to complete

2 Performance for 2015/16 to Quarter 2

- 2.1 The Business Plan 2015/16 identifies 55 key actions against the six agreed priorities for the Authority. Nine of these key actions relate specifically to the *Moor than meets the eye* Landscape Partnership.
- 2.2 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 The majority of key actions (38; 69%) are in progress and on target for completion in this business year of which five (9%) are already completed. A further nine key actions (16%) are causing some concern regarding progress and eight key actions (15%) are now considered to be unlikely to be completed in the current year.
- 2.4 There have already been some key achievements this year including the recent successful delivery of the UK National Parks conference and Members will also note the positive progress made against many of the key actions as set out in Appendix 1.

3 Progress behind schedule

- 3.1 Members will see the key actions where progress is not being made as originally planned and the commentary provided to explain this. Particular attention is drawn to the following key actions which may not or will not be delivered during 2015/16:

Work with local communities and volunteers to implement new ways of maintaining and improving public rights of way within the National Park.

Engagement with parish councils in relation to the Community Path Scheme is progressing but not at the pace or as proactively as we had hoped. As a result the proposed schemes are unlikely to be delivered this year.

Work in partnership to develop site specific and targeted information for visitors in response to problems caused by dogs and litter.

Our agreed new approach to tackling these issues has not been progressed due to other commitments and officer workloads. Leadership Team have recognised this issue and are putting in place plans to add capacity so this work can be taken forward within a revised timeframe.

Positively engage with cyclists and other interest groups to review the Authority's policy on recreation events, with particular reference to cycling.

Good progress made but new works have been identified that require additional funding and officer capacity to progress. Leadership Team are considering how this work can be taken forward.

Continue to develop the National Parks Visitor Centres as themed destinations with targeted investments (subject to funding) at Princetown and Postbridge.

We have submitted a bid to the Heritage Lottery Fund for further improvements to the visitor experience at Princetown Visitor Centre. A decision on this is expected by the end of December 2015. Moor than meets the eye includes a project to potentially extend Postbridge Visitor Centre to accommodate artefacts from the Whitehorse Hill finds. This project is behind schedule and at risk. We are in discussions with the Duchy of Cornwall (the landowners) about potential options.

Introduce a new system of pre-planning application advice including charges for certain types of applications.

Pre application advice charges

Pre application advice charges have now been in place since 1 April 2015. On the whole charges have been accepted by all customers and there has been no resistance. Income raised so far this year has been below expectations however at £11,000 for the first two quarters (set against an expected income of £25k for the year). It is noticeable that the number of written requests has also reduced since the

introduction of charges (442 for first two quarters compared to 602 in 2014/15). The team has managed to meet their 28 day turn around target in most cases.

A discussion was held at the last Planning Panel regarding the future extension of charges to take in currently exempt areas, and the potential to increase some charges. The conclusion reached at that time was that a review should take place after a full year to gauge the impact of charges. At the present time however there is no indication that charges have not been fully accepted and the other concern about requests for advice dropping significantly with a knock on impact on 'dirty' or 'no hoper' applications has not materialised.

Support development of key sites through proactive Masterplans and/or development briefs and provision of professional advice.

Masterplan work

Ashburton - Work has now commenced on developing the Ashburton Masterplan as a Supplementary Planning Document. A Strategic Environmental Assessment and Sustainability Appraisal has now been carried out and is currently out to consultation with Statutory Consultees. In addition we are in the process of appointing a consultant to carry out some other work relating to viability, railway options, and infrastructure costs. This work will then feed into a revised Masterplan which, it is hoped, will then be subject to a six week period of public consultation with an eventual potential adoption date planned for March/April 2016. We are, however, dependant upon consultants producing reports before the consultation exercise can commence so this timetable cannot be guaranteed at present. In the meantime we are continuing to process the planning application from Edwin Tucker Ltd and discussions are ongoing between officers and the applicant.

Chagford – the current planning application for 93 dwellings etc. at Chagford being the substantive scheme following on from the grant of 15 dwellings on the road frontage has now completed its first stage of public consultation. A government announcement made in the Budget on housing and rent reviews has however made the registered housing provider review their position. The developer is awaiting a formal response as to whether or not their involvement will continue. Other options are being considered by the developer but this is a threat to affordable housing delivery. On the positive side however detailed discussions have taken place on design matters and it is hoped that revised plans showing improvements will be with the Authority in the next two/three weeks. Alongside this the developer is also in detailed discussion with the Fire Authority. Throughout this whole process your officers and the developer have maintained a good working relationship with the Parish Council and the Chagford Community Trust. It seems likely that the application will go back out to public consultation with revised plans before end of November with a decision timetabled for March 2016.

Buckfastleigh – discussions have been held between officers and the owners of the site and it is clear at the present time the owners have no desire to take matters forward. No further action has therefore been possible.

4 Conclusion

- 4.1 Members will note from this report that the Authority has made good progress in delivering the Business Plan for 2015/16. Key areas of concern/slippage are as noted above. Ongoing progress throughout 2015/16 will continue to be monitored and reported to Members.

NEIL WHITE

Attachment: Appendix 1 - 2015/16 Business Plan Priorities – Quarterly Monitoring

20151106 NW Business Plan Monitoring 2015/16

Business Plan Priorities - Quarterly Monitoring


Priority : Conservation of the Natural and Historic Environment							
Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)	
Assess the impact of blanket bog restoration undertaken as part of the Dartmoor Mires Project 2010-2015 and consider the priorities and potential funding for and further restoration work.	NB		Milestones/expected progress: Agree vegetation monitoring programme with SWW. Place ITT on website. Meet HLF and consider options for future project with partners	Milestones/expected progress: Vegetation monitoring takes place	Milestones/expected progress: Meeting of new Peatland Partnership to discuss Mires Evaluation and next steps towards a new project	Milestones/expected progress:	
			Achieved first quarter targets. Talking to partners about a new HLF bid celebrating our peatlands. G	Actual Progress: Completed G		Actual Progress:	
Organise a living Dartmoor day to share the priorities contained within the Living Dartmoor Plan and consider how we can work with local people to share information and develop and support community-based action.	NB		Milestones/expected progress: Design Community Engagement day to monitor blanket bog restoration.	Milestones/expected progress: Community day delivered and results included in HLF bid	COMPLETED		✓
			Actual Progress: Work has progressed to design a community engagement day to involve and train volunteers to monitor the impact of blanket bog restoration as part of a three year programme. Working with Plymouth University. G	Completed G			
MTMTE Implement the Natural Connections and Haymeadows Projects as a landscape scale initiative to improve the quality of these environmental assets.	CM		Milestones/expected progress: 1. Haymeadows - site visits with owners. Assess condition and agree actions. 2. Rhos pastures - contact owners, start planning integrated works.	Milestones/expected progress: 1. Develop outline plans. Deliver guided walks. 2. Draw up plans to treat invasive species.	Milestones/expected progress: 1. Volunteer work parties and contractors on site. 2. Develop research on Willow Tit and Bog Hoverfly with volunteers and universities.	Milestones/expected progress: 1. Volunteer work parties and contractors on site.	
			Actual Progress: All started and shared through staff training day G	Actual Progress: Guided walks were delivered and over - subscribed. Other elements started but not completed A	Actual Progress:	Actual Progress:	
Secure funding for a project, working with partners and volunteers, to record and survey all the historic weirs on Dartmoor.	LB		Milestones/expected progress: Develop proposal. Agree brief. Discuss with HLF.	Milestones/expected progress: Discuss with other key stakeholders.	Milestones/expected progress: Submit Expression of Interest.	Milestones/expected progress:	
			Actual Progress: All completed G	Actual Progress: progressing well G	Actual Progress:	Actual Progress:	
MTMTE Make improvements to the fabric and public access to Higher Uppacott in line with proposals approved through the MTMTE scheme.	AW		Milestones/expected progress: Appoint contractor for windows and thatch. Implement new windows.	Milestones/expected progress: Complete thatching across all elevations.	Milestones/expected progress: Start internal works.	Milestones/expected progress:	
			Actual Progress: Completed. G	Actual Progress: Completed G	Actual Progress:	Actual Progress:	

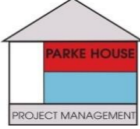
Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
MTMTE With funding from the MTMTE scheme improve management and understanding of Bronze Age landscape on Dartmoor through a programme of survey, research, excavation, interpretation and conservation management works focused on Whitehorse Hill, Sittaford Stone Circle and the high moorland forests.	LB		Milestones/expected progress: Implement geo-physical survey. Clear sites at Fernworthy with volunteers.	Milestones/expected progress: Walkover surveys utilising volunteers.	Milestones/expected progress: Excavation of Sittaford Stone Circle.	Milestones/expected progress:
			Actual Progress: Both elements completed.	G	Actual Progress: Successfully completed	G
MTMTE Carry out archaeological baseline survey of the Rippon Tor area (one of Dartmoor's Premier Archaeological Landscapes which contains 130ha of Scheduled Ancient Monuments).	AC		Milestones/expected progress: Complete Rippon Tor survey.	Milestones/expected progress: Add information to HER and decide on any works.	Milestones/expected progress:	Milestones/expected progress:
			Actual Progress: Completed.	G	Actual Progress: Started will be completed in Q3	A
MTMTE Target management of six scheduled monuments to remove them from the Heritage at Risk register.	AC		Milestones/expected progress: No work done in 1st and 2nd Q due to bird breeding	Milestones/expected progress:	Milestones/expected progress: Deliver	Milestones/expected progress: Improvement works on 4 Monuments at Risk
			Actual Progress:	G	Actual Progress:	G
MTMTE Organise a Community dig at North Hall Manor, Widecombe and continue to work with local communities to explore their Medieval landscape and organise a community workshop to share knowledge.	AC		Milestones/expected progress: Pre-planning and consultation. Contract let.	Milestones/expected progress: Community Dig to take place w/c 13 July.	COMPLETED	
			Actual Progress: All completed ready to deliver in July	G		
Target outreach activity to improve understanding of the importance of blanket bogs on Dartmoor and the archaeological findings at Whitehorse Hill.	OR		Milestones/expected progress: Agree messages.	Milestones/expected progress: Implement over summer.	Milestones/expected progress: Review effectiveness.	Milestones/expected progress:
			Actual Progress: Used Enjoy Dartmoor article to create posters for outreach vehicle regarding Mires	A	Actual Progress: Completed	G

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Priority : Work to support a sustainable farming economy						
Key Actions	Lead Officer	Project Management	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Continue to support and evaluate Dartmoor Farming Futures as a new approach to agri-environment focused on empowering the farming community.			Secure agreement and funding for an internship to provide capacity to evaluate DFF and communicate lessons learnt	Appoint Internship	Hold annual Steering Group meeting; commence evaluation	Initial results from evaluation for review
			Agreement on funding and job description	Interviews held, appointment made	Actual Progress:	Actual Progress:
			G	G		
Engage with and support the farming community through (1) the Moorland Management Forum; (2) Dartmoor Farmers' Forum.	(1) - CP (2) - AK		Milestones/expected progress: Agree format and location of MMF.	Milestones/expected progress: Deliver MMF. Plan Dartmoor Farmers Forum	Milestones/expected progress:	Milestones/expected progress: DFF
			Actual Progress:	Actual Progress: Both events planned	Actual Progress:	Actual Progress:
			R	G		
Implement a grant scheme to help integrate heritage features with the needs of modern hill farming by adapting and restoring stone walls.	KTo		Milestones/expected progress: Access grant applications and confirm to successful candidates.	Milestones/expected progress: Implementing works	Milestones/expected progress: Works reviewed and payments made. Advertise and promote 2016 grant scheme.	Milestones/expected progress:
			Actual Progress: Completed - 4 grants offered	Actual Progress:	Actual Progress:	Actual Progress:
			G	G		
Implement repairs to three pounds/driftways to ensure their conservation and continued use for the farming community.	RS		Milestones/expected progress: Ensure all approvals in place and agree works. Get quotes.	Milestones/expected progress:	Milestones/expected progress: Bel Tor driftway Works at East Shallowford Poundsgate pound.	Milestones/expected progress:
			Actual Progress: Work started	Actual Progress: All; works planned and agreed will be delivered in Q3	Actual Progress:	Actual Progress:
			A	G		
Explore opportunities for a Dartmoor specific farming survey and benchmarking club to inform farm business improvements and provide evidence on farming trends.	HFP		Milestones/expected progress: One open meeting on benchmarking.	Milestones/expected progress: Scoping with Duchy College.	Milestones/expected progress:	Milestones/expected progress:
			Actual Progress: Achieved -grassland walk at Corringdon on 19/6/15. 13 farmers attended.	Actual Progress: No progress on Dartmoor specific farm business survey	Actual Progress:	Actual Progress:
			G	R		

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Run a free planning advice day for farm businesses in the National Park.	JA		Milestones/expected progress: Programme event to take place in Quarter 2	Milestones/expected progress: Advice session to be held	COMPLETED	
			Actual Progress: A	Actual Progress: Completed and positive feedback received G		

Priority : Be an excellent organisation

Key Actions	Lead Officer	Project Management	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Act as the lead partner for the Moor than meets the eye Heritage Lottery funded Landscape Partnership Scheme.	MA		Milestones/expected progress: Submit quarterly returns on time. Leadership Team and Audit & Governance reports. Project Board meetings. Liaise with HLF.	Milestones/expected progress: Submit quarterly returns on time. Leadership Team and Audit & Governance reports. Project Board meetings. Liaise with HLF.	Milestones/expected progress: Submit quarterly returns on time. Leadership Team and Audit & Governance reports. Project Board meetings. Liaise with HLF.	Milestones/expected progress: Submit quarterly returns on time. Leadership Team and Audit & Governance reports. Project Board meetings. Liaise with HLF.
			Actual Progress: Quarterly claim to HLF submitted. LT report. A&G report missed. Project Board meeting. Mentor meeting. A	Actual Progress: Will report to Authority in December G	Actual Progress:	Actual Progress:
Develop the Dartmoor National Park website as two-way tool for communication, focused on user needs.	SH		Milestones/expected progress: Stakeholder engagement, draft outline specification, outline site map	Milestones/expected progress: Tender out, contractor selection, detailed site map and wireframe	Milestones/expected progress: Design concepts, content drafting to new design style	Milestones/expected progress: Build new site in Matrix, migrate new content
			Actual Progress: All key actions completed. G	Actual Progress: Appointed contractor G	Actual Progress:	Actual Progress:
Continue to work at a national and local level to develop fundraising and new income sources.	SH		Milestones/expected progress: Review and develop plan for £ for the Park, extending it to be a general donation scheme. Procure tax advice on different operational models for National Parks Partnerships.	Milestones/expected progress: Share outline with key stakeholders including the Dartmoor Trust and DPA, look at operating models	Milestones/expected progress: Develop new scheme and preferred operating model. Develop other options for fundraising and draft strategy	Milestones/expected progress: Prepare to launch new scheme with new website. Finalise fundraising strategy and plan
			Actual Progress: Tax advice procured. Proposals for voluntary donations developed for LT to consider. G	Actual Progress: Prepared proposal for Dartmoor Trust G	Actual Progress:	Actual Progress:

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Prepare an organisational development strategy to support staff, volunteers and Members, improve processes and sustain high performance.	NW		Milestones/expected progress: Outline paper to LT (May 2015).	Milestones/expected progress: Conduct new staff survey	Milestones/expected progress: Develop/review draft strategy (informed by survey results and staff feedback)	Milestones/expected progress: Strategy completed - Feb 2016 for implementation from 1 April 2016
			Actual Progress: Discussed at LT on 4 June 2015 Next steps agreed: provide opportunity for all staff to get involved. Consider how we engage Members and volunteers. Register for new staff engagement survey.	Actual Progress: New staff survey developed and issued to staff for completion in Sept 2015 - results to be analysed Staff workshop/engagement event held on 22 Sept 2015. Group being set up to develop strategy. Next steps: consider how we engage with UNISON, Members and volunteers. Need to build in time for formal consultation and decision making stage.	Actual Progress:	Actual Progress:
Input, through National Parks England, to the forthcoming Spending Review and respond to future funding settlement.	KB		Milestones/expected progress: Background papers prepared.	Milestones/expected progress: Seek meeting with Minister. Scenario planning.	Milestones/expected progress: TBD depending on Spending Review announcement.	Milestones/expected progress: TBD depending on Spending Review announcement.
			Actual Progress: Completed	Actual Progress: Completed	Actual Progress:	Actual Progress:

Priority : Promote a positive experience of Dartmoor National Park for residents and visitors						
Key Actions	Lead Officer	Project Management	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Work with local communities and volunteers to implement new ways of maintaining and improving public rights of way within the National Park.	RS		Milestones/expected progress: Rangers meet with Parish Councils and community groups to discuss Community Path Scheme (CPS). Rangers share new ways of working with landowners. Purchase of new strimmers. Volunteers trained to use brushcutters.	Milestones/expected progress: Develop Career Advancement Apprentice Start to develop community paths scheme in chosen parishes.	Milestones/expected progress: 60% of path surveys undertaken by volunteers. Career Advancement Apprentice starts. Volunteers used to trim paths in place of Rangers.	Milestones/expected progress: 9 Community Path Schemes established.
			Actual Progress: Feedback from parishes is understanding but very little proactive response for CPS as yet. 7 strimmers purchased and 10 Voluntary Wardens have been trained.	Actual Progress: Work with parishes is taking time, but there is progress. Schemes unlikely to be delivered this year. Career Advancement Apprentice being re-scoped. Report to LT in December for launch in 2016	Actual Progress:	Actual Progress:

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Deliver and evaluate a pilot Junior Ranger scheme for children aged 12 - 16 and continue to deliver the John Muir Award for Ranger Ralph Club members and local schools.	OR		Milestones/expected progress: Recruit members and launch new scheme. Start roll out of programme.	Milestones/expected progress: Deliver Yr 1 Activities. Consider future funding through HLF. John Muir Ranger Ralph Award stat in August. South Tawton School start JMA in June.	Milestones/expected progress: First year programme complete. Evaluate pilot.	Milestones/expected progress: John Muir Final awards completed.
			Actual Progress: 12 Junior Rangers appointed. 3 activities completed.	Actual progress: All actions completed	Actual Progress:	Actual Progress:
Review and, where appropriate, renew a number of expiring Access Agreements.	ID		Milestones/expected progress:	Milestones/expected progress: 5 agreements expire	Milestones/expected progress: 5 agreements expire	Milestones/expected progress: 2 agreements expire . 4 expire 2016
			Actual Progress: 16 Agreements need renewal : 10 are in negotiation and 6 are not started.	Actual Progress: Some slippage. Additional resources allocated.	Actual Progress:	Actual Progress:
Work in partnership to develop site specific and targeted information for visitors in response to problems caused by dogs and litter.	AW		Milestones/expected progress: Agree and implement new approach - May	Milestones/expected progress:	Milestones/expected progress: Evaluate.	Milestones/expected progress:
			Actual Progress: Not progressed due to other commitments to spend Defra flood money and Granite and Gears. New poster agreed through schools competition for paws. Will pick up in Autumn.	Actual Progress: No progress due to workload. Revised timeframe.	Actual Progress:	Actual Progress:
Positively engage with cyclists and other interest groups to review the Authority's policy on recreation events, with particular reference to cycling.	AW		Milestones/expected progress: Cycling Code launch May/June. Agree Comms Plan - June.	Milestones/expected progress: Completed but new work identified to be considered. Bid to the project fund.	Milestones/expected progress:	Milestones/expected progress:
			Actual Progress: Code launched. Comms Plan completed and implementation started via cycle shops and hire businesses.	Actual Progress: Subject to determining next steps	Actual Progress:	Actual Progress:

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Ensure that recreation infrastructure owned and/or leased by the Authority is maintained to a high standard to reflect its importance to the visitor experience and the local community.	JS		Milestones/expected progress: Programme of car park works to be agreed. Maintain bus stops and information boards.	Milestones/expected progress:	Milestones/expected progress: Implement agreed programme of car park works.	Milestones/expected progress:
			Actual Progress: Progress on developing programme of car park works slow due to functionality of database. Schedule of works now agreed. Completed maintenance of bus stops	A	Actual Progress: programme of car park works now completed . Ready to implement in autumn.	G
MTMTE Work with the local community, Forestry Commission and other partners to develop and deliver recreational trails, interpretive media and visitor management for the Postbridge and Bellever area.	AW		Milestones/expected progress: Develop routes based upon feedback from community. Report to LT on car park charging at Postbridge.	Milestones/expected progress: Consult with community. Undertake safety audit.	Milestones/expected progress: Second report to LT on Postbridge car park charges.	Milestones/expected progress: Implement and promote two new routes.
			Actual Progress: Completed	G	Actual Progress: Behind schedule but progress is being made and spend re-profiled through MTMTE	A
Develop a loan box scheme for handling archaeological collections available to local schools to fit with the National Curriculum Stage 2.	OR		Milestones/expected progress: None	Milestones/expected progress: Discuss Exmoor scheme and develop ideas	Milestones/expected progress: Bid to project Fund	Milestones/expected progress: Deliver loan box
			Actual Progress: None	G	Actual Progress: Completed	G
Complete an interactive heritage expedition map to help people understand and plan interesting walks based upon landscape, ecology and archaeology of Dartmoor.	AK		Milestones/expected progress: Complete functionality and trial.	Milestones/expected progress: 6 routes uploaded	Milestones/expected progress: Soft launch in January. Introduce HT map to Ten Tors groups	Milestones/expected progress:
			Actual Progress: Completed. LT, MTMTE project leads have seen the map and Lunch and Learn session planned to promote development of trails.	G	Actual Progress: Not achieved due to workloads	R
Continue to develop the National Parks Visitor Centres as themed destinations with targeted investments (subject to funding) at Princetown and Postbridge.	RD		Milestones/expected progress: Develop plans for Postbridge gaining Duchy approval and community buy-in.	Milestones/expected progress: Submit planning application for Postbridge. Develop HLF bid for Princetown.	Milestones/expected progress: Tender for Postbridge build; commence work on site. Submit HLF bid for Princetown.	Milestones/expected progress: Work on site, interpretation and shop fit. Princetown - room 2 will be complete and access upgraded.
			Actual Progress: Delay in gaining Duchy approval; rising cost implications too.	R	Actual Progress: Postbridge plans in abeyance. HLF bid drawn up, LT signed off budget and submitted at the end of September.	A

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Develop online 'virtual' visitor centre as part of the website redevelopment.	SH		Milestones/expected progress: Programme as per website redevelopment.	Milestones/expected progress: Programme as per website redevelopment	Milestones/expected progress:	Milestones/expected progress:
			Actual Progress: on target G	Actual Progress: On target G	Actual Progress:	Actual Progress:
Develop and implement with the National Trust (and other partners) a visitor survey to understand better the National Park 'customer profile'.	RD		Milestones/expected progress: Talk to National Trust to understand their requirements and capacity	Milestones/expected progress: Using work by National Trust 'insights' team to develop a visitor, non-visitor and business survey in September 2015	Milestones/expected progress: LT sign off budget for survey work	Milestones/expected progress: survey undertaken and results processed
			Actual Progress: Meeting undertaken with the National Trust G	Actual Progress: Initial meeting with DJ, AW and OR to scope work. Further meeting scheduled with NT and Insights team to develop survey. Prepare for 2016/17. R	Actual Progress:	Actual Progress:

Priority : Work towards ensuring Dartmoor has a thriving local economy						
Key Actions	Lead Officer	Project Management	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Provide a proactive, Development Management service focused on saying yes to development that is good for Dartmoor and providing high levels of customer satisfaction.	CH/JA		Milestones/expected progress: Meet government targets on applications and appeals. Provide pre-app advice service. Customer satisfaction survey to be run. Business drop in session. Farmer drop in session. Parish Council training.	Milestones/expected progress: Customer satisfaction survey to start Farmer advice session to be held	Milestones/expected progress: Parish Council training Business drop in advice session to be held	Milestones/expected progress: Conclude customer satisfaction survey
			Actual Progress: Govt. target on minor and other applications exceeded - targets in brackets. G	Actual Progress: All targets met except for informal appeals target. G	Actual Progress:	Actual Progress:
			Actual Progress: All Major apps subject to PPA and dealt within timeframe. % appeals where PINS agreed with DNPA 40% (informal target 66%)	Actual Progress: Customer satisfaction survey to commence next quarter - currently being set up. G	Actual Progress: Not started due to sickness in DM admin team and other priorities. A	Actual Progress:
			Actual Progress: Parish Council training to be planned for later in the year. G	Actual Progress: Not started. A	Actual Progress:	Actual Progress:

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Introduce a new system of pre-planning application advice including charges for certain types of applications.	SB/CH/JA		Milestones/expected progress: System in place by 1 April 2015	Milestones/expected progress: Monitor progress	Milestones/expected progress: Monitor changes - report to A&G in November assessing impact of charges and future directions	Milestones/expected progress:
			Actual Progress: System in and functioning from 01/04/15. No resistance from customers so far. Income raised to date = £3824 (yearly target set of £25k)	G	Actual Progress: Continuing to monitor. Pre app charges raised so far = £11K Planning panel discussion on charging. Met target of 28 day turnaround.	G
Implement the Vanguard pilot for those wanting to build their own homes.	DJ		Milestones/expected progress: Register of self builders	Milestones/expected progress: Progress pilot schemes	Milestones/expected progress: Progress pilot schemes to application submission stage	Milestones/expected progress: submission of planning applications on pilot schemes
			Actual Progress: Register of self-builders in place. Active help given to a number of schemes at pre-app advice stage.	G	Actual Progress: South Brent, Hennock and Buckfast schemes all at pre app stage	G
Ensure that our planning policy framework is up to date and fit for purpose including new policy advice on affordable housing and work on new Local Plan for Dartmoor.	DJ		Milestones/expected progress: Commence work on new Local Plan Statement of Community Involvement commenced Local Development Scheme review	Milestones/expected progress: SCI published for consultation LDS reviewed and adopted Evidence gathering on housing commenced	Milestones/expected progress: Further evidence gathering JAC on housing to commence work on housing policy work PAS/PoS to act as critical friends	Milestones/expected progress:
			Actual Progress: Local Plan Review on hold pending outcome of Ashburton Masterplan. Will be commenced next quarter now that Masterplan adopted at July Authority meeting.	A	Actual Progress: Potential legal challenge delays Masterplan. Draft SCI published LDS adopted Housing survey work with partners underway Contact made with Planning Advisory Service and Planning Officers Society to use them as critical friends	A
Manage and develop the Hill Farm Project to support the farming community to innovate, collaborate and add value to their businesses in an environmentally sustainable manner.	AK		Milestones/expected progress: New SG members appointed. First meeting of new Steering Group.	Milestones/expected progress: Submit six monthly claim 31 July. Second meeting of Steering Group September	Milestones/expected progress: Third meeting of Steering Group	Milestones/expected progress: fourth meeting of Steering group. Submit 6 monthly claim 31 January
			Actual Progress: Achieved	G	Actual Progress:	G

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Develop opportunities for apprenticeships that help support National Park purposes.	NW		Milestones/expected progress:	Milestones/expected progress:	Milestones/expected progress:	Milestones/expected progress: As part of planning for 2016/17, continue to consider opportunities for apprenticeships
			Actual Progress: Supporting Corporate Admin apprentice (to Oct 2015) Conservation Technician apprentice appointed to trainee post	G	Actual Progress: Corporate Admin apprentice due to leave at end of October	G
Support the Greater Dartmoor Local Enterprise Action Fund as a source of funding for local entrepreneurs and businesses.	JoR		Milestones/expected progress: new board and governance agreed.	Milestones/expected progress: Board & officer training & programme development	Milestones/expected progress: Launch a& Open to applications	Milestones/expected progress: first funding awarded
			Actual Progress: local development strategy and funding confirmed. New Board members advertised and secured. Governance and management agreed.	G	Board & officer training delayed due to DEFRA. Knock on effect delaying programme development, implementation and opening of fund to applications. Coms meeting arranged for mid Oct.	A
Work with Connecting Devon and Somerset and other partners to secure improved broadband and mobile coverage for communities in the National Park.	JoR		Milestones/expected progress: Separate tender for Dartmoor and Exmoor.	Milestones/expected progress: Work with delivery partner on site identification and pre app work. Develop comms plan.	Milestones/expected progress: planning applications submitted	Milestones/expected progress: planning applications determined & start of infrastructure rollout
			Actual Progress: Preferred supplier agreed.	G	Around 40 sites identified and assessed as part of pre- app. Around 15 require further negotiation and meeting/site visits arranged with delivery partner for mid Oct. Planning Apps expected to be submitted by end of Oct. Coms plan completed, PC event held in Sept. 6 further events for MoP arranged for Oct/Nov/Dec across DNP.	G
Develop and enhance the Dartmoor Range in our Visitor Centres to support local producers.	RD		Milestones/expected progress: Continued development of Dartmoor Range identifying potential new items and producers. Increased proportion of Dartmoor Range items offered.	Milestones/expected progress: Ensure Dartmoor Range is promoted appropriately and Point of Sale is enhanced at each Visitor centre. Use National Parks Week and other promotional	Milestones/expected progress: Promote Dartmoor Range to National Park Conference delegates, stock new items, meet with other National Parks to explore local products; invite Dartmoor Range producers to the Christmas fair at Princetown.	Milestones/expected progress:
			Actual Progress: Identified with existing Dartmoor Range producers any additional products; explored new product opportunities including cards, preserves and clothing	G	Actual Progress: PoS enhanced at Haytor, promotional table changed at Princetown for National Parks Week and new posters added to promote the range	G

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
Deliver the UK National Parks Conference showcasing Dartmoor to delegates and maximising the local economic benefits.	SH		Milestones/expected progress: Confirm all speakers and study tour programme. Sponsorship secured. Communications programme.	Milestones/expected progress: Booking forms submitted, rooms allocated, event plan completed. Invoices sent. Sponsorship secured. Risk assessments	Milestones/expected progress: Conference and post event review.	Milestones/expected progress:
			Actual Progress: on target	Actual Progress: On target	Actual Progress:	Actual Progress:
Support development of key sites through proactive Masterplans and/or development briefs and provision of professional advice.A11			Milestones/expected progress: Ashburton Masterplan completed Support design brief for BCK2 site Provide Pre app advice on Chagford site	Milestones/expected progress: Approve Ashburton Masterplan	Milestones/expected progress: SEA/SA out to public consultation. Revised Masterplan out to consultation. Infrastructure report work completed.	Milestones/expected progress: Adopt revised Ashburton Masterplan. Publish adoption statement. Determine Chagford Masterplan application site.
			Actual Progress: Ashburton Mplan progressed to final report for next quarter BCK2 site with developer to progress Pre app advice provided on Chagford	Actual Progress: Masterplan delayed due to potential legal challenge. Work commenced on changing to SPD. SEA/SA work commenced. Chagford Masterplan application being processed, but held up due to design problems and Govt budget changes implications for housing delivery.	Actual Progress:	Actual Progress:
Pilot drop-in sessions for local businesses to provide free advice on planning issues.	JA/JoR		Milestones/expected progress: One off event during the year to give bespoke planning advice	Milestones/expected progress: Plan event for this quarter	Milestones/expected progress:	Milestones/expected progress:
			Actual Progress: Not yet set up	Actual Progress: Prioritised Airband work; organised session for business on superfast broadband in October.	Actual Progress:	Actual Progress:
Work with partners to ensure a co-ordinated and sustainable approach to the marketing of Dartmoor as a visitor destination.	RD/SH		Milestones/expected progress: Set up and initiate a Strategic Tourism group with key partners (Visit Dartmoor, Duchy, NT, NE, FC, SWLT and WT)	Milestones/expected progress: Agree Visit Dartmoor tourism strategy for 2016	Milestones/expected progress: Meeting at end of 2015 to confirm strategy	Milestones/expected progress: 2016 Strategy programme milestones and actions agreed
			Actual Progress: First facilitated meeting held as above and second meeting identified partners requirements/ideas for 2016	Actual Progress: 2nd meeting with National Trust and SWLT. Agreed strategy meeting date set for November 2015. Visit Dartmoor produced draft strategy.	Actual Progress:	Actual Progress:

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
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Priority : Improve support to and engagement with local communities

Key Actions	Lead Officer	Project Management	Quarter 1	Quarter 2	Quarter 3	Quarter 4
Continue our support for local volunteer groups.	OR		Milestones/expected progress: Annual grant to Conservation Groups promoted and offered. Actual Progress: Completed - grants offered.	Milestones/expected progress: Actual Progress:	Milestones/expected progress: Annual meeting of Conservation Groups. Actual Progress:	Milestones/expected progress: Actual Progress:
			G	G		
Ensure we have a comprehensive programme to attract and support people who are interested in volunteering for the National Park.	NW		Milestones/expected progress: Actual Progress:	Milestones/expected progress: Actual Progress: Established approach to volunteering continues and existing programme maintained/updated and opportunities for new volunteers taken. However, this is reactive rather than proactive and future approach to volunteers to be discussed and will be subject to budgets and Spending Review	Milestones/expected progress: Actual Progress:	Milestones/expected progress: Actual Progress:
			R	R		
Support the delivery of affordable housing for local needs.			Milestones/expected progress: Specific DM and policy advice on a range of sites to be offered Consider need to update SPD in light of govt changes to policy Actual Progress: Sites supported at Chagford, North Brentor, South Tawton, South Brent No work planned this quarter for SPD	Milestones/expected progress: SPD action plan for review Commence Local Plan review work Actual Progress: No need to review SPD in light of Govt. thresholds on S106 being successfully challenged. See above for Local Plan review work.	Milestones/expected progress: Continue Local Plan review work including housing policy work JAC meeting to discuss future housing policy Actual Progress:	Milestones/expected progress: Actual Progress:
			G	A		

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)	
Deliver, monitor and evaluate the Dartmoor Naturally Healthy project to assess the concept of green prescriptions on people's health and well-being in the Buckfastleigh area.	OR		Milestones/expected progress: Six month report to Steering Group. Engage with relevant organisations within Buckfastleigh	Milestones/expected progress: Continue with activities and work with GPs on green prescriptions.	Milestones/expected progress: Annual report and review of first year.	Milestones/expected progress:	
			Actual Progress: Progressing well, funding partners approved progress. Joint evaluation agreed. 25 local groups in high risk categories engaged. Consultation with medical staff re Green Prescription processes	Actual Progress: Authority report in September. Activities progressing to plan	Actual Progress:	Actual Progress:	
Increase the number of Voluntary Wardens, providing support and training so that they work even more closely in support of the Dartmoor Rangers.	RS		Milestones/expected progress: Five new Voluntary Wardens to be in place by the summer.	COMPLETED			✓
			Actual Progress: Seven new Voluntary Wardens appointed and three worked over the Ten Tors weekend.				
MTMTE Develop the Dartmoor Diploma - a programme of training to support key skills needed to manage the landscape and heritage of Dartmoor.	MA		Milestones/expected progress: Develop new focus to reduce risk and ensure the Dartmoor Diploma.	Milestones/expected progress: ITT for delivery agreed	Milestones/expected progress: First courses launched.	Milestones/expected progress:	
			Actual Progress: Meeting with Duchy of Cornwall, refocus agreed. Potential to link with MOORSKILLS. Awaiting revised proposal. Delayed and some concern.	Actual Progress: Completed. ITT will be advertised in October	Actual Progress:	Actual Progress:	

Key Actions	Lead Officer	Subject to Parke House Project Management?	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)	
MTMTE Roll out the Parishscapes project in the <i>Moor that meets the eye</i> area to support local communities to record, share and conserve sites of local interest.	MA		Milestones/expected progress: Work with four pilot parish projects (Ashburton, North Bovey, Lustleigh and Moretonhampstead).	Milestones/expected progress: Grant approved to four pilot parishes. 5 year 2 parishes identified.	Milestones/expected progress:	Milestones/expected progress:	
			Actual Progress: 4 parishes engaged, no £ yet but good progress. Schemes agreed in all four parishes	G	Actual Progress: 6 parishes now engaged and project on target to deliver	G	Actual Progress:
Strengthen community engagement with the heritage of Dartmoor through, for example, a programme of targeted outreach activities and themed workshops for local communities (a Local History Day and a Living Dartmoor Day focusing on ecology and wildlife).	CP		Milestones/expected progress: Local History Day 16 May Princetown	COMPLETED			✓
			Actual Progress: Local History Day successful. Living Dartmoor day will focus on restored blanket bog, joint community science project with Plymouth University.				
Develop virtual online community as part of the website redevelopment enabling two-way conversations with our communities.	SH/JoR		Milestones/expected progress: as per website programme	Milestones/expected progress: as per website programme	Milestones/expected progress:	Milestones/expected progress:	
			Actual Progress: on target	G	Actual Progress: community pages for broadband added	G	Actual Progress:

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 November 2015

SERVICE DASHBOARDS

Report of the Head of Organisational Development

Recommendation: **That Members note the contents of the report**

1 Purpose of Report

1.1 This is the first service dashboard report which is one of the components of our developing performance management framework (see separate report NPA/AG/15/010).

2 Dashboards

2.1 In accordance with the proposed reporting schedule the following dashboards are provided in Appendix 1:

Service	Lead Officer
Access & Recreation	Andrew Watson
Communications	Sam Hill
Education and Outreach	Orlando Rutter
Visitor Services	Richard Drysdale
Rangers	Robert Steemson

2.2 The lead officer will normally attend the meeting to respond to any questions from Members.

3 Conclusion

3.1 The aims of the dashboard approach are to provide Members with readily available information across all of our key services to enable performance, key achievements and pressure points to be shared, scrutinised and discussed.

3.2 As we develop the dashboards in the coming months Members comments on this new approach as part of our overall performance management framework are welcome.

NEIL WHITE

Attachments: Appendix 1 – Dashboards

ACCESS & RECREATION

	Q1		Q2		Q3		Q4	
No. of Recreation event applications (won't necessarily include road events as we don't have any responsibility for these)	11		5					
No. of Recreation events monitored	0		2					
No. of unresolved public rights of way issues (as shown on our CAMS* system, rolling figure) <i>list for reference on p2</i>			410					
No. of new rights of way issues identified this Q	69		44					
No. of new issues resolved	27		14					
People counters actuals and % change from 2014/15 <i>Haytor car parks</i> <i>Haytor path</i> <i>Haytor toilets</i> <i>Postbridge car park</i> <i>Postbridge path</i> <i>Newbridge car park</i>	Data to be inserted prior to A&G meeting		Data to be inserted prior to A&G meeting Data download 30/10/15					
Donations actuals and % change from 2014/15								
Meldon	308	-43%	758	+14%				
Newbridge	305	-44%	877	+54%				
Dartmeet	760	-46%	2,219	+60%				
Haytor top car park	126	-25%	210	+210%				

Key Pressure Points

- Access Agreements – additional hours now agreed to help complete this work
- Events - continued growth and ongoing concerns from Commoners and some local communities
- Car parking charges at Postbridge - little progress due to other pressures
- Managing Higher Uppacott HLF scheme and complexities of implementing works to Grade 1 listed building

Key Achievements
<ul style="list-style-type: none"> • Defra Granite and Gears completed • Delivering Higher Uppacott Project on time and to budget

***Countryside Access Management System (CAMS)**

CAMS is the database we use for recording and managing path reports and issues. The categories of issues by type are listed below for information. Issues reported to the Authority are logged at HQ and passed to the relevant sector ranger for investigation/action.

Maintain Drainage
 MaintainBoardwalk
 MaintainBridge/Decking
 MaintainBridge/Handrail
 MaintainBridge/Stone
 MaintainBridge/Wood
 MaintainFinger Post/Metal
 MaintainFinger Post/Wood
 MaintainFord
 MaintainGate/Gate/Stile Sign
 MaintainGate/Hunting
 MaintainGate/Kissing
 MaintainGate/Metal
 MaintainGate/Wood
 Maintaingatepost
 MaintainOther/Railing
 MaintainOther/Stepping Stones
 MaintainSign/Sign
 MaintainSteps/Steps
 MaintainStile/Dog
 MaintainStile/Ladder
 MaintainStile/Stone
 MaintainStile/Wood
 MaintainSurface/Re-surfacing
 MaintainVegetation/Clearance
 MaintainWaymark/Posts
 Obstruction

Communications				
Media	Q1	Q2	Q3	Q4
Press releases issued	25	29		
Media coverage in Tindle Group papers and WMN	144 Articles	118 articles		
Filming requests for TV and film	11	14		
National and significant media enquiries	29	22		
Subscribers to e-news	1,238	1,239		
Average % opened (national 19%)	45.5%	43%		
Social media				
Twitter DNPA				
Followers	8,587	9,102		
Reach	122,400	122,400		
Top view/shares	Ten Tors Dartmoor Classic Moor Care road message/cycling code	Web Ellis Cup Visitor advice Cooking outdoors		
Facebook Enjoy Dartmoor				
Followers	1,122	1,589		
Reach	50,133	68,835		
Top view/shares	Easter holiday spring film Easter holiday cycling film	Haymeadow film Summer film		
You Tube				
Followers	358	470		
Reach	124,000	172,836		
Top view/shares		Summer film		
Instagram				
Followers	746	1,256		
Reach				
Top view/shares				
Website				
Unique visits	97,236	92,760		

Most viewed sections	1. visiting 2. planning 3. About us	1. visiting 2. planning 3. About us		
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Key Pressure Points

The UK National Parks Conference has put a lot of pressure on the Communications team, particularly the Head of Communications who is organising it. This has meant that some of the work in the work programme has slipped slightly.

Key Achievements

TV programmes/films supported and filmed this quarter include:

- Countryfile
- Film production company recce of Higher Uppacott to use as a location
- BBC/ITV news – potential spending cuts ‘charging’
- American film company filming general scenes for network
- BBC2 ‘Wildlife Weekends’
- BBC Secret Britain
- Interview with the Austrian Broadcasting corporation

We have done a lot of work with BBC Radio Devon this quarter and are working with the weekend editor on a series of weekend programmes based on different themes, archaeology being the first.

We also did a big media and social media push at the beginning of the summer holidays on mobile homes and wild camping. Still work to be done on this to help with some issues Ranger encounter. Motorhome magazines are being targeted for spring 2016.

EDUCATION AND OUTREACH

	Q1	Q2	Q3	Q4
FORMAL EDUCATION				
No. of Formal education events	20 events + 66%	12 -47%		
No of people attending	537 participants + 30%	338 -63%		
No. of train the trainer events	2 events 36 participants + 100%	1		
No. of hits on Education website	9,988 + 20%	8135 +3%		
RANGER RALPH				
No of Ranger Ralph Events and participants	3 + 0% 61 children +12% 52 adults + 60%	2 -50% 26 -55% 22 -53%		
Hits on Fun Zone	3,637 +3%	3,235 -4%		
Guided WALKS and EVENTS				
Guided Walks and Events				
No of events	6 -50%	16 -33%		
No of participants	126 +50%	235 +29%		
Higher Uppacott private bookings	6 +100% 148 +100%	2 30		
OUTREACH VEHICLE				
No of events attended	25 -29%	31 -3%		
Events on Dartmoor	16 -34%	26 -7%		
Events off Dartmoor	9 +125%	5 +25%		
No of customers	2162 +30%	3035 +23%		

% age change from 2014/15

Key Pressure Points

- Importance of engaging young people was identified at the NP conference. There is increasing demand from schools for bigger events but we have a small pool of volunteer guides and we are struggling to recruit new guides with the right skills.

Key Achievements

- Moorland Management Forum – mix of people, good discussion
- Summer outreach – continued success of activities to draw people in to start a conversation and sell Ranger Ralph Club membership.
- Positive feedback from local communities about attendance at local small shows
- Members involvement

VISITOR SERVICES

	Q1			Q2			Q3			Q4		
	P'town	P'bridge	Haytor	P'town	P'bridge	Haytor	P'town	P'bridge	Haytor	P'town	P'bridge	Haytor
Visitor Numbers & % change from 2014/15	22,175 +41%	19,769 +3%	13,281 -11%	31,620 +7%	28,918 +2%	18,878 -10%						
Group bookings or coach arrivals	59 Groups	342 coaches	120 coaches	48 Groups	371 coaches	120 coaches						
Sales Income (net) & % change from 2014/15	£19,723 +47%	£14,342 +11%	£12,067 +31%	£28,316 +14%	£21,774 +8%	£16,980 +10%						
Sales per visitor (net)	£0.89	£0.73	£0.91	£0.90	£0.72	£0.90						
Total Sales Income (net)	£46,132 Total all three centres +30%			£67,071 Total all three centres +11%								
Gross Profit (i.e. less cost of sales)	£19,852 = 43%			£28,594 = 43%								
Donations made in Visitor Centres & % change from 2014/15	£669 +7%	£156 -13%	£292 +31%	£585 +1%	£257 +21%	£210 +73%						
Car Park pay & display and donations & % change from 2014/15	£3,803 -13%	£1,760 +21%	£475 -15%	Tbc (WDBC)	£2,583 +6%	£545 -29%						

Comments

Visitor feedback (qualitative) : 260 visitor comments in visitor books – all positive about Dartmoor and staff
 Trip Advisor feedback (star rating) : 16 reviews (11 x 5*, 5 x 4*) – comments range from quality of information to professionalism of staff however some complaints about charging for car parks and toilets. K

ey questions/information required by visitors : local walks, wild camping, dog walking and disposing of dog bags, litter, cycling, cuckoo sightings

Incidents

72 incidents reported across the three Visitor Centres

Key Pressure Points

- Number of coaches at Postbridge (201 in June with single staffing)
- Staff sickness and size of Casual pool
- Engagement with local businesses at Postbridge
- Princetown Car Park (extra machine); signage
- Group bookings at Princetown
- Car parking at Haytor

Key Achievements

- Submission of HLF bid for enhancement of access and interpretation of room 2 at Princetown. Decision to be made by Christmas 2015
- Year on year increase in sales of Dartmoor Range items
- Toilets installed and opened at Princetown – no issues with maintenance or management to date
- Enhanced PoS at Haytor leading to increase in sales in spite of decrease in visitor numbers.
- A Dartmoor tear off map produced with National Trust has been well received.
- Launch of Conservation garden at Princetown by DPA and success of events using the Visitor Centre.

RANGERS

	Q1	Q2	Q3	Q4
Officer time – days				
Attending meetings (Ranger / DNP / Community / Parish Council / Partner agencies / landowner)	40.8	34.0		
Patrolling / byelaw enforcement	131.8	119.4		
Events and outreach (Ranger Ralph / shows / community events)	22.3	37.7		
Monitoring organised events	3.2	1.5		
Working with volunteers (not PRow)	7.2	17.3		
Working on special projects / supporting DNP officers	8.6	7.1		
PRow Inspection / survey	18.5	11.0		
PRow Maintenance - with community / volunteers	5.8	19.6		
PRow maintenance - other	24.4	27.7		
PRow admin / preparation	10.2	11.3		
PRow enforcement	0.0	0.1		
CRoW Inspection	1.4	2.4		
CRoW Maintenance	1.1	3.6		
Swaling / wild fire / plotting burn sites	3.2	0.0		
Carrying out surveys (erosion, recreation etc.)	3.5	1.4		
Collection and disposal of litter:	9.7	13.0		
Dealing with animal incidents	2.4	1.8		
Training	10.6	4.7		
General admin	45.6	46.3		
Outputs				
Number of people spoken to during weekend and bank holiday patrols	3334	2425		
Number of bags of litter collected	173.5	282.5		
Number of parish council meetings attended	19	4		
No of byelaw offences recorded by type and location	64	32		
Number of byelaw offences referred to Police (CSAS)	7	19		
Number of postings on FACEBOOK (add some commentary)	80 across the wide spectrum of Ranger work			
Followers on FACEBOOK		1118		

Key Pressure Points

- Dealing with wild campers, overnight motorhomes in car parks and their litter
- Increase in fly tipping reports that require checking before passing on to relevant land owner and District Council
- Stretched resources on good weather weekend days
- Adapting to changing requests to work load and increasing procedures

Key Achievements

- Using volunteers to clear vegetation from archaeological sites
- Radio Devon work station day on Templar Way at Haytor
- Progression of two minute beach clean idea on to Dartmoor for 2016
- Revision of Bicton College agreement and work groups
- Re-start with Longcause School work group
- Utilising willing Voluntary Wardens to help out over weekends

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 NOVEMBER 2015

**FINANCIAL MANAGEMENT 1 APRIL TO 30 SEPTEMBER 2015
AND FORECAST FINANCIAL OUTTURN 2015/16**Report of the Head of Business SupportRecommendation : **That the content of the report be noted****1 Monitoring and Management of Revenue Budgets (April to September 2015)**

- 1.1 This report enables Members to monitor income and expenditure variations against the approved budget for 2015/16. 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 2015

- 2.1 The 2015/16 net budget was set at £3,588,586 (NPA/15/006) funded by National Park Grant (NPG) fees and charges and Earmarked Reserves. The Authority approved various appropriations to reserves at the end of the 2014/15 financial year (NPA/15/016) which are then allocated to the 2015/16 budget so that projects can be completed in the new financial year. This has resulted in the net budget increasing to £3,869,598.
- 2.2 Current projections, based on figures at the end of September (month 6) indicate that a surplus of £35,587 may arise. A Cost Centre summary can be found at Appendix 1 and a detailed analysis at Appendix 2.
- 2.3 The main variations and movements in the management accounts are as follows:

Salaries - A surplus of £12,534 mainly due to vacancies, absence, secondments and temporary cover.

Travel - A deficit of £3,356. It is likely that this will fluctuate during the next 6 months depending on the amount of mileage and rail journeys undertaken by staff.

Transport – A deficit of £5,915 mainly as a result of the repair costs incurred on returning leased vehicles, and the extension of leases, once again, due to procurement delays (via the Crown Commercial Service).

Premises - A deficit of £50,710 which will be offset by Heritage Lottery Fund (HLF) grant and our own reserves in respect of the works at Higher Uppacott under the Moor than Meets the Eye Scheme. A procurement exercise was undertaken for a new office cleaning contract this year, which has also resulted in higher costs.

Supplies and Services - A deficit of £216,528 but this is being offset by grant income and/or fees and charges of £141,356 and the planned use of earmarked reserves of £45,287. Significant variations include:

£	
3,250	Reconstruction illustration of Fernworthy Stone Circle – being funded by the Forestry Commission
2,226	Dartmoor Hill Farm Project work – being offset by Farmer Agency Training income
2,000	Re-negotiated access agreements
10,287	Construction of public toilets at the National Park Visitor Centre, Princetown, which is being funded from reserves
75,000	Construction of Swincombe Bridge – offset by 100% grant income from Devon County Council
6,030	Princetown Railway cycle scheme – offset by 100% Granite and Gears grant income
85,000	Engagement of a specialist consultant contractor to support the processing of the Linhay Quarry planning application – offset by a £50,000 planning application fee and our own reserves or revenue underspend (see NPA/15/034)
5,050	Housing viability assessments – offset by recharging applicants
6,500	Specialist professional legal advice for planning and other corporate matters
8,700	Strategic Environmental Assessment/Sustainability Appraisal/Habitat Regulator Assessment work for the Chuley Road Supplementary Planning Document (SPD) and to obtain specialist legal advice.
9,629	Staff support costs: health & safety, health & wellbeing and recruitment and staff taking up the cycle scheme offer, which is recovered from staff pay

Grant income - A surplus of £123,526 the most significant of which are listed below (some of which have been mentioned and matched with the expenditure listed in the above table, but is repeated here for completeness) :

£	
4,500	Historic England - White Horse Hill
5,579	Historic England - Historic Environment Record
75,000	Devon County Council – Swincombe Bridge
15,599	HLF grant income claimed under Moor than Meets the Eye
7,470	SWW final Mires project grant claim
2,500	Duchy – Hill Farm Project

3,250	Forestry Commission – Fernworthy Stone Circle
6,030	Granite & Gears funding

Sales, Fees & Charges - A surplus of £139,499. In addition to the £50,000 planning application fee for Linhay Quarry mentioned previously, the most significant variances are:

£	
2,270	Providing walks, talks & FEP advice
2,441	General donations
3,500	Donations at our car parks
4,000	Treasury deposit interest
21,700	Retail sales (forecast outturn)
35,500	Planning application fees (forecast outturn)
18,000	Sponsorship for the National Parks Conference, which should mean that the Authority will produce a “break even” position rather than incurring £20,000 costs as provided for in the budget

2.4 Within the budget the Authority set aside a Project Fund budget of 157,675 for this financial year. At the time of writing this report £85,213 expenditure has been approved by Leadership Team, which includes:

£	
4,500	Mires evaluation
7,000	Dartmoor Farming Futures Internship post
15,000	Peatland Study
10,000	Mires PR14
1,000	Princetown Visitor Centre HLF bid
3,375	VMWare Upgrade (ICT system)
2,000	Dartmoor Society (grant)
7,000	Staff support: Enforcement
2,500	LEP – rural enterprise area concept
4,500	Wild camping film
879	Re-decoration of public WCs at Parke
25,000	Website
659	Scanning historic plans & surveys
1,800	2 Minute Clean Project

2.5 The Authority hosted the National Parks Conference between 14-16 October 2015. The Authority set a net provisional budget of £20,400 to cover costs in excess of those that might be met from delegate fees. At the time of writing this report, not all of the final invoices have been received; however, to date we have secured sponsorship income of £19,125 and non-national park delegate fees of £7,346. This means that the total cost that will be incurred by each National Park could be less than originally agreed and that, apart from paying for our own delegates to attend, we have potentially achieved a “break even” financial position for the event.

3 Treasury management Stewardship

3.1 The function of Treasury Management (borrowing and lending monies) is covered by the CIPFA Code of Practice on Treasury Management in the Public Services. The

Authority adopted this Code in 2004. In compliance with the code, the Authority approves a Treasury Management Policy & Investment Strategy annually (NPA/15/005). This sets out the detail on how the function is to be carried out, and delegates overall management of it to the Chief Financial Officer and its day to day implementation to the Head of Business Support.

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

The following table shows the outturn position for the previous six financial years and a forecast outturn for 2015/16.

2009/10 Outturn	2010/11 Outturn	2011/12 Outturn	2012/13 Outturn	2013/14 Outturn	2014/15 Outturn	2015/16 Forecast Outturn
£12,920	£13,841	£10,809	£21,920	£16,013	£17,998	£16,000

- 3.3 The Authority has for many years adopted a very cautious and prudent approach to treasury management. Lending is only possible to banks and building societies which have strong credit limits and meet the criteria set by the Authority, using information published by the three major credit rating agencies. In the past this policy has enabled the Authority to avoid having any exposure to the riskier areas of treasury management such as the Icelandic banks in 2008. 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.
- 3.4 However, the nature of risks is changing, with banks no longer being seen as ultra-safe, and the new regulatory environment around the concept of 'bail-in,' meaning that rating agencies are now placing less reliance on Governments to bail out failing banks. As a result, the balance of risk between bank deposits and other forms of investment, such as property funds or bond funds, could be judged to be less significant than it has been in the past.
- 3.5 During the financial crisis of 2007/08 the Government stepped in to bail out the Royal Bank of Scotland and Lloyds Bank. The perception has been that the major banks would not be allowed to fail, and the likelihood of the Government stepping in to provide support was reflected in the credit ratings of the major UK banks. However, the new regulatory environment is putting more emphasis on the requirement for investors to take a hit by funding a "bail-in". A "bail-in" is where the bank's creditors, including local authorities depositing money with them, bear some of the burden by having part of the debt they are owed written off. New regulation also requires banks to hold a larger capital balance to ensure the security of deposits and to meet any significant cashflow event.
- 3.6 In recognition of the revised regulatory environment, the credit rating agencies are now adjusting their ratings to reflect the ability and likelihood of the Government providing financial support and are removing any previous uplift awarded for this support. At the same time, they are reviewing where banks have increased their capital ratios, and in many cases this will have a positive impact on their rating, which

may offset the perceived loss of Government support. In early June Standard and Poors concluded a review of UK banks and as a result many banks, including Lloyds, had their ratings affirmed at the previous level.

- 3.7 As reported (verbally) to the Authority on 3 July (minute 3102) Barclays Plc, the Authority's banker and main counterparty suffered a ratings downgrade by one of the three credit rating agencies, and as a result their short term rating no longer satisfies the Authority's current lending criteria. The key reason that Barclays have been affected by the review and suffered a worse result than other banks, is that the review includes their investment bank, which is deemed to be a more risky enterprise. Discussions have been held with Barclays and with Capita, the County Council's treasury advisors. Capita use a range of other metrics to assess the creditworthiness of a counterparty, including the price of credit default swaps (CDS). A CDS, is in effect, the cost of insuring against a bank default, and the more likely the bank is to default, the higher the price of the CDS. Using their metrics Capita continue to include Barclays on their list of recommended counterparties
- 3.8 It is therefore proposed that a change could be made to the Treasury Management Strategy which would allow Barclays back onto the list. The proposal is that the following criteria be added to the strategy: "Where the short term rating of a counterparty is one notch below the stated criteria, but the counterparty meets the long term rating criteria, they may still be used subject to the advice of the S151 Officer and the County Council's external advisors (Capita) who will take into account a range of other metrics in arriving at their advice." A report, asking for approval to amend the strategy accordingly, will be presented to the Authority in December.
- 3.9 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. Indeed, even in the face of such low interest rate returns, we have continued to perform reasonably well, to the extent that other National Park colleagues have asked us to share the details of our strategy and operational practices to see if they could make improvements. Another option would be to consider having our investments managed by a third party, to perhaps take advantage of some type of 'pooling arrangement'. This has been discussed with the County Council, but has not been taken forward, as the charges incurred would almost certainly negate any possible investment gains and reduce our income even further.

4 Capital Programme and Prudential Indicators

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

5 Reserves

- 5.1 The Authority brought forward Earmarked Reserve balances totalling £2.695 million on 1 April 2014 and has maintained a General Reserve of £300,000 (see Appendix 3) as approved by the Authority on 5 June 2015 (NPA/15/016)
- 5.2 The level of reserve balances is determined in part by our on-going work programmes and projects 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. Based on the current financial position, the year-end balance for earmarked reserves is anticipated to be circa £1.97 million.

- 5.3 We are currently undertaking the process of building the 2016/17 Budget and Medium Term Financial Plan (MTFP). However, next year's NPG and future years' allocations are currently unknown. What is clear is that public sector spending is set on a downward trajectory until at least 2020, but we do not know the speed or scale of any cuts that might be applied to National Parks.
- 5.4 The Authority may have to utilise a significant proportion of reserves over the life of the next MTFP if significant reductions in NPG are made; either to support revenue spending, pay redundancy packages, or a combination of the two. The judgements and risks surrounding the purpose and level of reserves held, will need to be kept under constant review whilst we await clarity about future funding settlements. The date of the autumn budget statement is 25 November, but we have no information about the timing of any subsequent announcement from Defra.

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 £35,587 represents a -0.9% variance against the budget. It should be noted that some forecasts are likely to fluctuate, especially if some projects are delayed due to poor weather conditions, or if other income is received and / or generated in the next 6 months. Action to realign budgets is not therefore recommended at this time.
- 7.2 The current year's projected outturn will be robustly monitored and challenged over the remaining six months to ensure that the Authority's aims, objectives and outcomes are achieved. Members will be notified before year-end if any new budget pressures, or significant variations are likely to occur.

DONNA HEALY

Background Papers

NPA/15/006 – 201516 Net Revenue Budget, Medium Term Financial Plan & Capital Budget
NPA/15/005 - Treasury Management Investment Strategy 2015/16
NPA/15/016 - Financial Outturn 2014/15

Attachments – Appendix 1 - Revenue Budget Monitoring Report as at 30.09.15
Appendix 2 - Outturn Variance Analysis
Appendix 3 - Reserve Balances
Appendix 4 - Reserves: Risk Based Analysis

Functional Strategy	2015/16 Original Budget £	2015/16 Budget Variation/ Virement £	2015/16 Revised Budget	2015/16 Actual & Committed Month 6 £	2015/16 Budget Remaining	2015/16 Projected Outturn	2015/16 Year End Deficit/ (Surplus) £
Biodiversity	120,196	29,500	149,696	51,327	(98,369)	133,149	(16,547)
Mires - SWW Funded	0	0	0	9,887	9,887	5,597	5,597
Land Management	10,538	7,000	17,538	6,732	(10,806)	17,538	0
Woodlands	41,512	0	41,512	20,378	(21,134)	41,583	71
Hill Farm Project - Princes Countryside Fund	14,734	0	14,734	(6,209)	(20,943)	14,734	0
Hill Farm Project	14,433	0	14,433	11,768	(2,665)	14,025	(408)
Directorate Costs	7,850	0	7,850	3,792	(4,058)	8,602	752
Natural Environment	209,263	36,500	245,763	97,675	(148,088)	235,228	(10,535)
Archaeology	91,151	2,659	93,810	49,012	(44,798)	76,770	(17,040)
Built Environment	38,012	5,230	43,242	23,721	(19,521)	44,069	827
Moor than Meets the Eye - Externally funded	0	0	0	92,943	92,943	1,163	1,163
Higher Uppacott	30,052	0	30,052	50,658	20,606	57,436	27,384
Cultural Heritage	159,215	7,889	167,104	216,334	49,230	179,438	12,334
Visitor Management	78,137	4,500	82,637	26,637	(56,000)	82,312	(325)
Access	101,511	0	101,511	44,083	(57,428)	102,668	1,157
Public Rights of Way	83,942	131,687	215,629	73,356	(142,273)	217,008	1,379
Sustainable Transport & Tourism	28,915	1,750	30,665	16,025	(14,640)	31,029	364
Traffic Management	0	0	0	0	0	0	0
Recreation Management, Traffic & Transport	292,505	137,937	430,442	160,101	(270,341)	433,017	2,575
Visitor Centres	162,900	12,650	175,550	104,456	(71,094)	161,707	(13,843)
Communications	167,295	25,000	192,295	81,806	(110,489)	192,716	421
Naturally Healthy Dartmoor - part externally funded	0	0	0	(7,724)	(7,724)	0	0
Education	118,829	0	118,829	59,418	(59,411)	120,842	2,013
Education, Information & Communication	449,024	37,650	486,674	237,956	(248,718)	475,265	(11,409)
Rangers	424,712	0	424,712	214,187	(210,525)	418,954	(5,758)
Conservation Works Service	226,777	0	226,777	108,421	(118,356)	221,232	(5,545)
Development Management	331,899	7,000	338,899	158,178	(180,721)	353,033	14,134
Forward Planning & Community	187,730	68,017	255,747	133,744	(122,003)	269,148	13,401
Your Dartmoor Grant Fund - ceased	0	53,500	53,500	30,980	(22,520)	53,500	0
Corporate and Democratic Core	325,761	0	325,761	170,026	(155,735)	308,183	(17,578)
Information Technology	173,393	15,053	188,446	103,854	(84,592)	186,078	(2,368)
Corporate Operating Costs	117,652	0	117,652	86,261	(31,391)	114,339	(3,313)
Business Support	170,289	0	170,289	88,594	(81,695)	165,564	(4,725)
Legal & Democratic Services	87,321	0	87,321	49,240	(38,081)	92,669	5,348
Human Resources	142,269	0	142,269	79,651	(62,618)	151,649	9,380
Office Accommodation (Parke)	97,732	879	98,611	65,199	(33,412)	102,587	3,976
Office Accommodation (Princetown)	35,369	0	35,369	16,178	(19,191)	36,402	1,033
Corporate Services	824,025	15,932	839,957	488,977	(350,980)	849,288	9,331
Project Fund	157,675	(83,413)	74,262	0	(74,262)	74,262	0
Total Net Expenditure	3,588,586	281,012	3,869,598	2,016,579	(1,853,019)	3,870,548	950
Funded By:	£			£	£	£	£
National Park Grant	(3,573,586)	0	(3,573,586)	(1,993,969)	1,579,617	(3,573,586)	0
2014/15 Brought forward reserve balances	(15,000)	(281,012)	(296,012)	0	296,012	(296,012)	0
2015/16 Reserves allocated in year	0	0	0	0	0	(41,037)	(41,037)
Transfers to reserves at year end	0	0	0	0	0	4,500	4,500
Total	(3,588,586)	(281,012)	(3,869,598)	(1,993,969)	1,875,629	(3,906,135)	(36,537)
Budget Variation - (Under) / Over Spend	0	0	0	22,610	22,610	(35,587)	(35,587)

2015/16 BUDGET MONITORING REPORT: VARIANCE ANALYSIS AS AT MONTH 6	Salaries £	Travel & Subsistence £	Premises £	Transport £	Supplies & Services £	Expenditure Overspend (Underspend) £	Grants £	Sales Fees & Charges £	Income Deficit (Surplus) £	Total Variance Deficit (Surplus) £	Explanation
BIODIVERSITY	(16,476)	(87)	0	0	16	(16,547)	0	0	0	(16,547)	Budget included MIRES end of project costs, but part funded by SWW. PR14 & Peatland projects could have yr-end c/fwd bals
MIRES PROJECT	12,664	403	0	0	0	13,067	(7,470)	0	(7,470)	5,597	Final salary costs after project end, met by DNPA & redundancy costs met in 2014/15 & SWW grant funded partly in 15/16
LAND MANAGEMENT	0	0	0	0	0	0	0	0	0	0	
WOODLANDS	(12)	366	0	0	0	354	0	(283)	(283)	71	Officer travel & accomodation exceeded budget provision
HILL FARM PROJECT - PCF	(494)	(150)	0	0	644	0	0	0	0	0	
HILL FARM PROJECT	929	247	0	0	2,446	3,622	(2,500)	(1,530)	(4,030)	(408)	Duchy & farmer Agency Training income meeting overtime & increased project costs
DIRECTORATE COSTS	0	372	0	248	132	752	0	0	0	752	H&S costs for MTMTE & uniform budget spending allocated across directorate budgets, potential underspends elsewhere
NATURAL ENVIRONMENT	(3,389)	1,151	0	248	3,238	1,248	(9,970)	(1,813)	(11,783)	(10,535)	
ARCHAEOLOGY	(5,400)	190	0	6	3,483	(1,721)	(14,149)	(1,170)	(15,319)	(17,040)	Salary saving due to recruitment at lower graded post. WHH income to be spent or carried forward and increased income from FEPS. Reconstruction illustration of Fernworthy Stone Circle to be funded by Forestry Commission
BUILT ENVIRONMENT	827	0	0	0	1,163	1,990	0	0	0	1,990	Non project costs that will be met by DNP
MOOR THAN MEETS THE EYE	0	0	0	0	0	0	0	0	0	0	
UPPACOTT	0	0	45,727	0	0	45,727	(15,599)	(2,744)	(18,343)	27,384	MTMTE Project spend to be matched by HLF grant claim and reserves
CULTURAL HERITAGE	(4,573)	190	45,727	6	4,646	45,996	(29,748)	(3,914)	(33,662)	12,334	
VISITOR MANAGEMENT	1,080	0	(4)	347	6,030	7,453	(6,030)	(1,749)	(7,779)	(326)	Agency staff covering sickness absence . Mobile vending licence income under budget. Granite & gears exp & funding for Princetown railway
ACCESS & RECREATION	1,030	0	0	0	3,146	4,176	0	(3,019)	(3,019)	1,157	Extra hours allocated to re-negotiation of access agreements under CROW. Get Active leaflet. £ for the park income
PUBLIC RIGHTS OF WAY	1,379	0	0	0	75,000	76,379	(75,000)	0	(75,000)	1,379	Swincombe Bridge
SUSTAINBLE TOURISM & TRANSPORT	38	257	0	0	70	365	0	0	0	365	
TRAFFIC MANAGEMENT	0	0	0	0	0	0	0	0	0	0	
RECREATION MANAGEMENT	3,527	257	(4)	347	84,246	88,373	(81,030)	(4,768)	(85,798)	2,575	
VISITOR CENTRES	(2,281)	(494)	(390)	88	11,085	8,008	0	(21,851)	(21,851)	(13,843)	£10k project spend - new toilets & VC improvements to be met from reserves. Retail sales income
COMMUNICATIONS	230	0	0	0	191	421	0	0	0	421	
NATURALLY HEALTHY DARTMOOR	(88)	365	0	410	2,091	2,778	(2,778)	0	(2,778)	0	Match funding for this project is held in reserves and received annually for 3 year project
EDUCATION	1,013	0	0	0	365	1,378	0	635	635	2,013	Salary budget error and unlikely to achieve educational walk income budget
PROMOTING UNDERSTANDING	(1,126)	(129)	(390)	498	13,732	12,585	(2,778)	(21,216)	(23,994)	(11,409)	
RANGERS	(806)	0	0	4,636	(7,447)	(3,617)	0	(2,141)	(2,141)	(5,758)	Repair costs for returning lease vehicles and overspends H&S, subscriptions etc, being offset by savings in Voluntary Warden budget
CONSERVATION WORKS	(7,065)	0	368	886	323	(5,488)	0	(57)	(57)	(5,545)	Salary savings due to sickness, cover being provided by agency staff
RANGERS, ESTATES & VOLUNTEERS	(7,871)	0	368	5,522	(7,124)	(9,105)	0	(2,198)	(2,198)	(11,303)	
DEVELOPMENT MANAGEMENT	(4,379)	1,507	0	280	97,237	94,645	0	(80,511)	(80,511)	14,134	Legal costs re enforcement and professional legal advice. Recruitment costs. Linhay Quarry consultancy contract to be partially offset by planning application fee. Vacacy savings: temporary cover and agency staff
DEVELOPMENT MANAGEMENT	(4,379)	1,507	0	280	97,237	94,645	0	(80,511)	(80,511)	14,134	
FORWARD PLANNING & COMMUNITIES	1,648	0	0	78	11,675	13,401	0	0	0	13,401	Honorarium. Public Realm works to be funded from reserves. Ashburton MP: SA/SEA & HRA & legal advice. Mineral permissions legal advice
YOUR DARTMOOR GRANT FUND	0	0	0	0	0	0	0	0	0	0	
FORWARD PLANNING	1,648	0	0	78	11,675	13,401	0	0	0	13,401	
CORPORATE & DEMOCRATIC CORE	1,434	0	0	0	2,988	4,422	0	(22,000)	(22,000)	(17,578)	Increased Treasury income and break even position for NP Conference apart from our delegate fees
CORPORATE & DEMOCRATIC CORE	1,434	0	0	0	2,988	4,422	0	(22,000)	(22,000)	(17,578)	
INFORMATION TECHNOLOGY	(2,085)	0	0	0	(84)	(2,169)	0	(199)	(199)	(2,368)	Salaries saving appointment at lower grade
CORPORATE OPERATING COSTS	0.00	107	0	(1,064)	(2,350)	(3,307)	0	(6)	(6)	(3,313)	Vehicles, printing & stationery and Insurance savings
BUSINESS SUPPORT	(2,984)	10	0	0	(1,751)	(4,725)	0	0	0	(4,725)	Apprenticeship post covering for secondment to HR
LEGAL	1,625	0	0	0	3,823	5,448	0	(100)	(100)	5,348	Honorarium. Professional legal advice - Vires
HUMAN RESOURCES	5,711	263	0	0	6,252	12,226	0	(2,846)	(2,846)	9,380	Secondment to support National Park Conference and Visitor Centres staffing / rotas.
OFFICE ACCOMMODATION (PARKE)	(72)	0	4,048	0	0	3,976	0	0	0	3,976	Occupational Health, specialist legal advice, recruitment and health & safety costs
OFFICE ACCOMMODATION (PRINCETOWN)	0	0	961	0	0	961	0	72	72	1,033	New cleaning contract commenced July & extra end of previous contract costs
CORPORATE SERVICES	2,195	380	5,009	(1,064)	5,890	12,410	0	(3,079)	(3,079)	9,331	
TRANSFERS TO / (FROM) RESERVES						0			0	0	
REVENUE EXPENDITURE	(12,534)	3,356	50,710	5,915	216,528	263,975	(123,526)	(139,499)	(263,025)	(35,587)	

2015/16 RESERVE BALANCES

Appendix 3 to NPA/AG /15/013

Earmarked Reserves	2015/16 Opening Balance £	2015/16 Movements within £	2015/16 Expenditure planned £	2015/16 Closing Balance (forecast) £	Notes
Grants & Contributions with Restrictions					
Defra: Flood & Winter Storm Damage - Grant	(120,703)		120,703	0	Fully committed against works in 2015/16
Your Dartmoor Grant Fund	(53,500)		53,500	0	Grants awarded not paid out at 31.03.15 (scheme now ended)
Prince's Countryside Fund: Hill Farm Project	(7,891)		7,891	0	Project runs from 2015-2017 allocate at year end
Natural England - Farming futures	(14,230)		14,230	0	Approval to employ and Intern 2015-2016
English Heritage: White Horse Hill	(15,536)			(15,536)	To fund the Exhibition at Postbridge VC
English Heritage: Historic Farmsteads	(5,230)		5,230	0	Project runs from 2014-2015
Natural England & Partners: Haytor Hoppa	(1,750)		1,750	0	For the 2015 summer service
DCC: Public Rights of Way	(10,984)		10,984	0	Service Level Agreement fund balance allocated to 2015/16
2013/14 New Homes Bonus	(6,750)		6,750	0	For 2015-2016 financial year
WDBC: Communities Fund Grant 2015/16	(15,000)		15,000	0	For 2015-2016 financial year
TDC: Communities Fund Grant 2015/16	(25,000)		25,000	0	For 2015-2016 financial year
WDBC: Communities Fund Grant 2014/15	(17,627)		17,627	0	Grants awarded not paid out as at 31.03.15
SHDC: Communities Fund Grant 2014/15	(15,755)		15,755	0	Grants awarded not paid out as at 31.03.16
DCC: Naturally Healthy Dartmoor Project	(12,294)		12,294	0	Project runs from 2014-2017 possible c/fwd
DCLG: Vanguard Right to Buy	(10,000)		10,000	0	Grant received at year end, will support the project in 2015-2016
Budget management Fund - Provisions (risk based)					
Employees	(351,000)	89,000		(262,000)	See risk assessment for breakdown
Appeals/Public Enquiries/Litigation	(250,000)			(250,000)	See risk assessment for breakdown
Inflation & loss of income	(102,000)	22,000		(80,000)	See risk assessment for breakdown
Redundancy	0			0	
Future reductions in NPG	(571,588)	43,816		(527,772)	To support revenue budget and / or redundancy costs
2014/15 Year end Surplus	(210,184)	210,184		0	
Property - Repairs & maintenance programme	(150,000)			(150,000)	See risk assessment for breakdown
Moor than Meets the Eye - cash flow provision		(300,000)		(300,000)	Based on project cash flow - retention and final claim in year 5
Known Commitments					
Broadband	(10,000)		10,000	0	Rural Community Broadband Project
Aerial Photography	(11,678)		11,678	0	Completed 2015
Princetown Visitor Centre	(33,846)		33,846	0	Improvements - to match HLF bid
Postbridge Visitor Centre	(11,650)		11,650	0	Architect paid 2015
Ashburton Mater Planning	(4,809)		4,809	0	On-going contracts (BDP)
2014/15 Chagford Cattle Grid	(3,000)		3,000	0	Timing not known
Dartmoor Local Plan	(122,500)		122,500	0	Between 2015 & 2019 (estimates only/timing unknown)
Gypsy and Traveller Accommodation Assessment	(1,996)		1,996	0	2015
Strategic Housing Market Needs Assessment (SHMNA)	(3,580)		3,580	0	2015
Capital Expenditure & sinking fund	(12,596)		9,004	(3,592)	Pool Vehicle delivered 2015
	(12,000)		(12,000)	(24,000)	Vehicle replacement programme
Match Funding Reserve					
HLF - Moor Than Meets the Eye match funding	(200,000)		200,000	0	Scheme delivery commenced 2014 - possible c/fwd
Superfast Broadband - connecting Dartmoor & Exmoor		(65,000)	65,000	0	Approved in-year
Cycling in National Parks (DFT) match funding	(30,000)		30,000	0	NPA/13/015 to be paid over in 2015
NPA/14/044 Princes Countryside Fund match funding	(30,000)		30,000	0	NPA/14/044 for years 2015-2017
Greater Dartmoor LEAF 2015-2020	(20,700)		20,700	0	NPA/14/038 for years 2018-2020
Naturally Healthy Dartmoor Project	(25,000)		25,000	0	NPA/14/031 for years 2014-2017
Princetown Visitor Centre - Phase II	(146,680)		146,680	0	HLF bid submitted, after round 1 approval
Unallocated fund balance	(48,000)			(48,000)	
	0				
	(2,695,057)	0	1,034,157	(1,660,900)	
General Reserve (unallocated emergency reserve)	(300,000)		0	(300,000)	
Total General Fund Balance	(2,995,057)	0	1,034,157	(1,960,900)	

2015/16 RESERVES: RISK BASED ANALYSIS	Risk Level	Rate	2015/16 Opening Balance £'000
Grants & Contributions with Restrictions carried forward: Grants & Contributions with Restrictions	N/A	Actual	332
Employees:			
Allowance for increased pay awards	Low	1% extra PA	28
Maternity / Paternity Cover	High	Based on 4 staff	42
Equal Pay Claims / Employment Tribunals	Low	Est.	50
Pension Fund - Past Deficit Recovery	Low	Est.	231
Costs & Awards:			
Appeals / Public Enquiries / Litigation	High	Est.	250
Loss of Income:			
Planning related fees	Medium	5%	10
Reduced Sales, Fees & Charges	Medium	10%	29
Partnership Income / Grants	High	10%	17
General Inflation:			
	Medium	Average of 3%	46
Property:			
Repairs & maintenance (sinking fund)	Medium	Est.	150
Known Commitments			
Chagford Cattle Grid	N/A	Actual	3
Dartmoor Local Plan Review	Medium	Est.	123
Aerial photography contract	N/A	Actual	12
Broadband	N/A	Actual	10
Princetown Visitor Centre refurbishment	N/A	Actual	33
Postbridge Visitor Centre design fees	N/A	Actual	12
Forward planning related contracts	N/A	Actual	11
Pool car purchase & livery	N/A	Actual	12
Capital			
Provision for future replacement of Landrovers (sinking fund)	N/A	Est.	12
Match Funding Reserve			
Moor than Meets the Eye	N/A	Actual	200
Hill Farm Project	N/A	Actual	30
Cycling in National Parks	N/A	Actual	30
Greater Dartmoor LEAF	N/A	Actual	21
Naturally Healthy Dartmoor	N/A	Actual	25
Princetown Visitor centre - Phase II	N/A	Est.	147
Unallocated to match future opportunities	N/A	Actual	48
Revenue			
Future Reductions in NPG	High	Est. Uncertain	571
2014/15 Revenue Outturn	N/A	Actual	210
General Reserve - Minimum amount to cover unanticipated costs / emergencies			300
Total Reserve Balance			2,995

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 November 2015

2015/16 STRATEGIC RISK REGISTER

Report of the Head of Organisational Development

Recommendation: **That Members:**

- **approve the updated Strategic Risk Register for 2015/16 attached at Appendix 1**
- **subject to any amendments Members may suggest approve the proposal to report the Strategic Risk Register to the Audit & Governance Committee in May and November each year**

1 Background

- 1.1 The Strategic Risk Register forms part of the Authority's overall risk management strategy as set out in the report to this Committee on 15 May 2015 (NPA/AG/15/009).
- 1.2 It is commonly perceived that risk management is about producing risk registers and can be seen as bureaucratic. The formal recording of risk management information is clearly important, but equally important are the discussions and dialogues that take place about risks across all areas – from the individual to the organisational.

2 Monitoring and Reporting Framework

- 2.1 As part of the risk management strategy it is important that Members review the strategic risks for the Authority in order to raise issues for further consideration and highlight possible areas of risk for addition or deletion.
- 2.2 Appendix 1 contains a copy of the Strategic Risk Register for 2015/16 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 is assessed
 - Record current control measures that are in place to manage the risk and provide a "Current Residual Risk Rating"
 - Identify additional control measures that can be implemented, along with any resources that might be required
 - Re-evaluate the risk and re-score it to demonstrate the anticipated "Planned Residual Risk Rating" i.e. if the additional control measures are implemented

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

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

2.4 Leadership Team monitor the Strategic Risk Register on a quarterly basis and have recently reviewed and updated the Register, including the specific addition of the Superfast Broadband Project (S5), so we are clear about potential risks and how we might mitigate these.

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

2.6 In light of the revised calendar for Audit & Governance meetings it is proposed that we report the Strategic Risk Register to this Committee in May and November each year.

NEIL WHITE

Background Papers: NPA/AG/15/009

Attachments: Appendix 1 – 2015/16 Strategic Risk Register

20151106 NW Risk Register 2015/16

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P1	Ineffective internal communication				
	<p>Consequence if no action</p> <p>Lack of understanding of objectives, targets, priorities, issues and challenges Dis-engaged staff create a poor impression of DNPA when in-contact with the public and our stakeholders</p>	<p>Leadership Team meets weekly 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.</p> <p>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.</p> <p>Annual all staff training day. Regular service and team meetings Intranet & website Regular briefings to Members and two officer/Member working panels</p>	2	4	8
Additional control measures planned					
Communication Strategy addresses internal communication and will support staff and members to be better at communication. Communication methods constantly reviewed and mixture of written and face to face utilised. NPAPA assessment emphasised the need to "close the loop" and provide feedback on decisions taken and why. Leadership Team will keep a focus on this issue.					
Resources required: Staff & Member time is needed to participate fully					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
<p>Ensure staff are able to contribute and feel valued Staff and members are ambassadors for the organisation Promote full understanding and ownership of the Authority's work, priorities and change agenda Develop a better understanding of the Authority and its work</p>					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : PERFORMANCE

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : PERFORMANCE

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : PERFORMANCE

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : PERFORMANCE

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S1	Failure to implement a robust culture of risk assessment and risk management.				
	<p>Consequence if no action Disruption to service delivery. Waste of financial resources as number and cost of losses escalate. Increasing cost or unavailability of insurance cover. Critical reports by external audit. Increase likelihood of major loss/incident. Loss of reputation.</p>	Risk Management Strategy Risks monitored by A&G Committee. Corporate Risk Management Steering Group (Leadership Team). Operational Risk Management via work programmes/projects Risk based audit (internal and external). Annual Governance Statement, following review of all governance arrangements. SLA with Teignbridge DC continued for 2015/16 to support provision of robust health and safety risk assessment process and culture and health and safety management advice at an operational level. Risk assessment training provided regularly to relevant officers and further training available.	2	3	6
Additional control measures planned					
Resources required: None					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome Risk based approach embedded in culture of the organisation. All risks effectively managed.					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : STRATEGY

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

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 and potential stress arising out of reduction in Government funding and consequent reduction in staffing				
	<p>Consequence if no action</p> <p>Failure to deliver corporate objectives. High stress levels and staff absence. Targets/improvement not achieved Staff unclear of roles & responsibilities in new structure</p>	<p>HR Policies</p> <p>Business Plan, Appraisal and review process – identifying clear priorities and work programmes for individuals, teams and the Authority as a whole.</p> <p>Effective management of organisational change. Good internal communications/staff survey/feedback channels/liaison with representatives.</p> <p>Support to Managers and focus on developing management skills</p> <p>Proactive attendance management; provision of Employee Assistance Programme; OH service</p> <p>Spending Review 2015 and the potential for further cuts and continued uncertainty increases this risk.</p> <p>Quarterly review and discussion at LT (led by Head of OD) of 'temperature' of the organisation, identifying any pressure points (e.g. impact of long-term sickness absence) and where additional support may be required.</p> <p>Provision of the Project fund within the budget to enable Officers to make in-year bids for to buy-in additional resource.</p>	5	5	25
Additional control measures planned					
This will remain an area of risk as the Authority continues to adapt following reductions in its workforce. Business Plan contains clear key actions which will be monitored.					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

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 2015/16

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	Significantly reduced capacity in the Authority following staffing reductions. Reduced resilience: little or no capacity to cover for absences.				
	Consequence if no action High stress levels Poor performance Increase in complaints Reduced quality of work Contracts and obligations not fulfilled	Active staff management and support through a mixture of: <ul style="list-style-type: none"> • Clear priorities through the Business Plan and appraisal process • Appraisal system • Project Fund • Staff support e.g., Occupational Health, EAP; counselling etc. 	5	5	25
Additional control measures planned					
This will remain an area of risk as the Authority adapts to a significantly reduced budget and potential further reductions as a result of the 2015 Spending Review. The staff reductions required to balance the budget mean that the Authority has reduced capacity to complete projects and undertake work generally.					
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					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : STRATEGY

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F1	Potential for further reductions in National Park Grant (NPG) in subsequent financial years.				
	<p>Consequence if no action</p> <p>Insufficient funds to meet statutory requirements and delivery of National Park Purposes. Failure to meet Performance Targets</p>	Authority has set a balanced budget for 2015/16 and undertaken some scenario planning for 2016/17 and 2017/18 but lack of any information on future funding from central government makes detailed medium term financial planning impossible.	5	5	25
Additional control measures planned					
Scenario planning as to how we may respond to further reductions in NPG in addition to considering alternative sources of funding. Use of Authority reserves to balance the future budgets and MTFP is considered via the budget setting process. Seek opportunities for alternative funding streams, fees, charges and sponsorship and alternative delivery methods and partnership working.					
Resources required: Officer time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			5	5	25
Outcome					
Focused organisation with resources targeted to agreed priorities Reduced reliance on NPG					

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Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

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

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : FINANCE

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

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

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	Heritage Lottery Fund Landscape Partnership programme: risk to the Authority as lead partners regarding cashflow and reputation				
	<p>Consequence if no action</p> <p>Reputational damage if the scheme is not delivered on time and to budget</p> <p>Potential cashflow issues for the Authority if the scheme is not delivered on time and to budget</p> <p>Reputational issues for the Authority as lead partners if local community not engaged and supportive of all schemes</p>	<p>Continued dialogue through regular monitoring meetings with Project Board and HLF to share project and risk management</p> <p>Agreed Communications plan to be implemented</p> <p>Some slippage is likely over the 5 year period, need to ensure implications are discussed and revisions agreed with Board and partners.</p> <p>Scheme Manager appointed with strong project management experience.</p> <p>Detailed performance reports on a regular basis to Audit & Governance Committee as well as Landscape Partnership Board.</p>	3	5	15
Additional control measures planned					
Scheme Manager to focus on strategic delivery of the project – to include finance and performance management. Changes and risk to delivery identified early. Risk to be continually monitored. Role of Project Board is strategic.					
Resources required: Staff time and financial resources					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Planned Residual Risk	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
	2	5	10
Outcome Successful delivery of the scheme and prompt action when slippage or new risk identified.			

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : GOVERNANCE

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

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : GOVERNANCE

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

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : GOVERNANCE

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

Red = Cause for Concern – scores 20-25

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : GOVERNANCE

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

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

Risk Category : GOVERNANCE

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

Red = Cause for Concern – scores 20-25

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

6 November 2015

MEMBER ATTENDANCE

Report of the Head of Organisational Development at the request of the Chair of the Audit & Governance Committee

Recommendation: **That Members note the contents of the report**

1 Purpose of Report

1.1 The Chair of this Committee has requested an update regarding Member attendance at Authority meetings.

2 Member Attendance

2.1 The Authority maintains a record of Member attendance and performance against the agreed target (S14) is presented as part of the performance management process each year.

2.2 A summary of Member attendance for the previous two business years and the current year to date is provided in the table below.

2.3 Where Members have authorised leave of absence (e.g. health reasons) this is taken into account and does not impact on the attendance record.

2.4 For the first six months of this year, nine members have a 100% attendance record at Development Management, eight of which attended all Authority meetings. Three Members have attended 50% or fewer Development Management meetings, four Members attending 50% or less Authority meetings. There has been one Audit and Governance meeting this year which was attended by four Members (of 8 – since increased to 10).

2.5 The overall target for Member attendance in 2015/16 is 85%.

	2013/14	2014/15	2015/16	
			Q1	Q2
Authority	-	83%	79%	74%
Development Management	-	88%	80%	81%
Audit & Governance	-	67%	57%	-
Overall	83%	84%	78%	75%

NEIL WHITE