



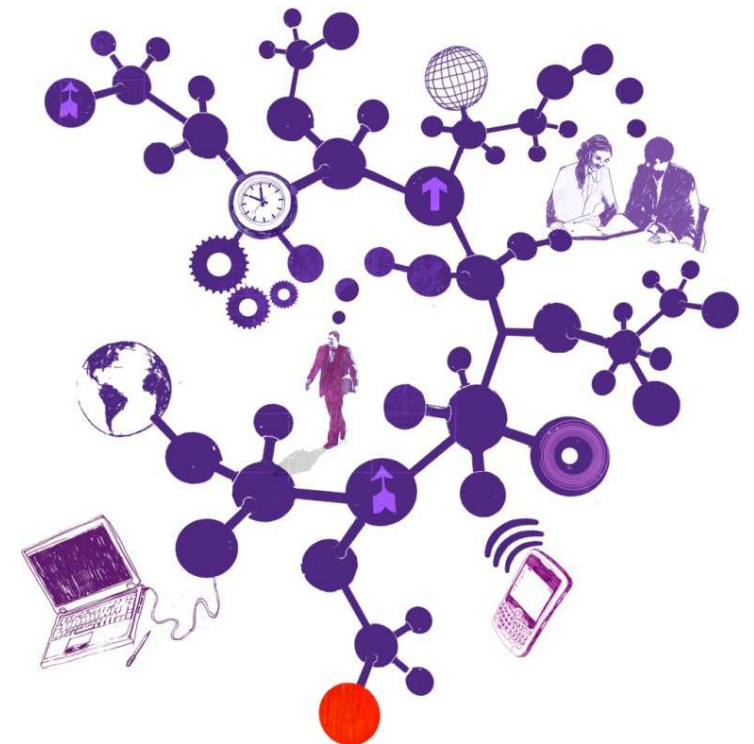
The Audit Plan for Dartmoor National Park Authority

Year ended 31 March 2015

7 April 2015

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

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Developments relevant to your business and the audit

In planning our audit we also consider the impact of key developments in the sector and take account of national audit requirements as set out in the Code of Audit Practice ('the code') and associated guidance.

Developments and other requirements

1. Financial reporting

- Changes to the CIPFA Code of Practice.
- Assets Valuation and Fair Value (IAS 16).
- Going Concern.

2. Corporate governance

- Annual Governance Statement (AGS).
- Explanatory foreword.
- Head of internal Audit Opinion.

3. Financial Pressures

- Managing service provision with less resource with the cuts to National Park Grant.
- Real term reductions will have been 40% over the previous six years, reductions are forecast to continue.

4. Other requirements

- The Authority is required to submit a Whole of Government accounts pack on which we provide an audit view.

Our response

We will review whether

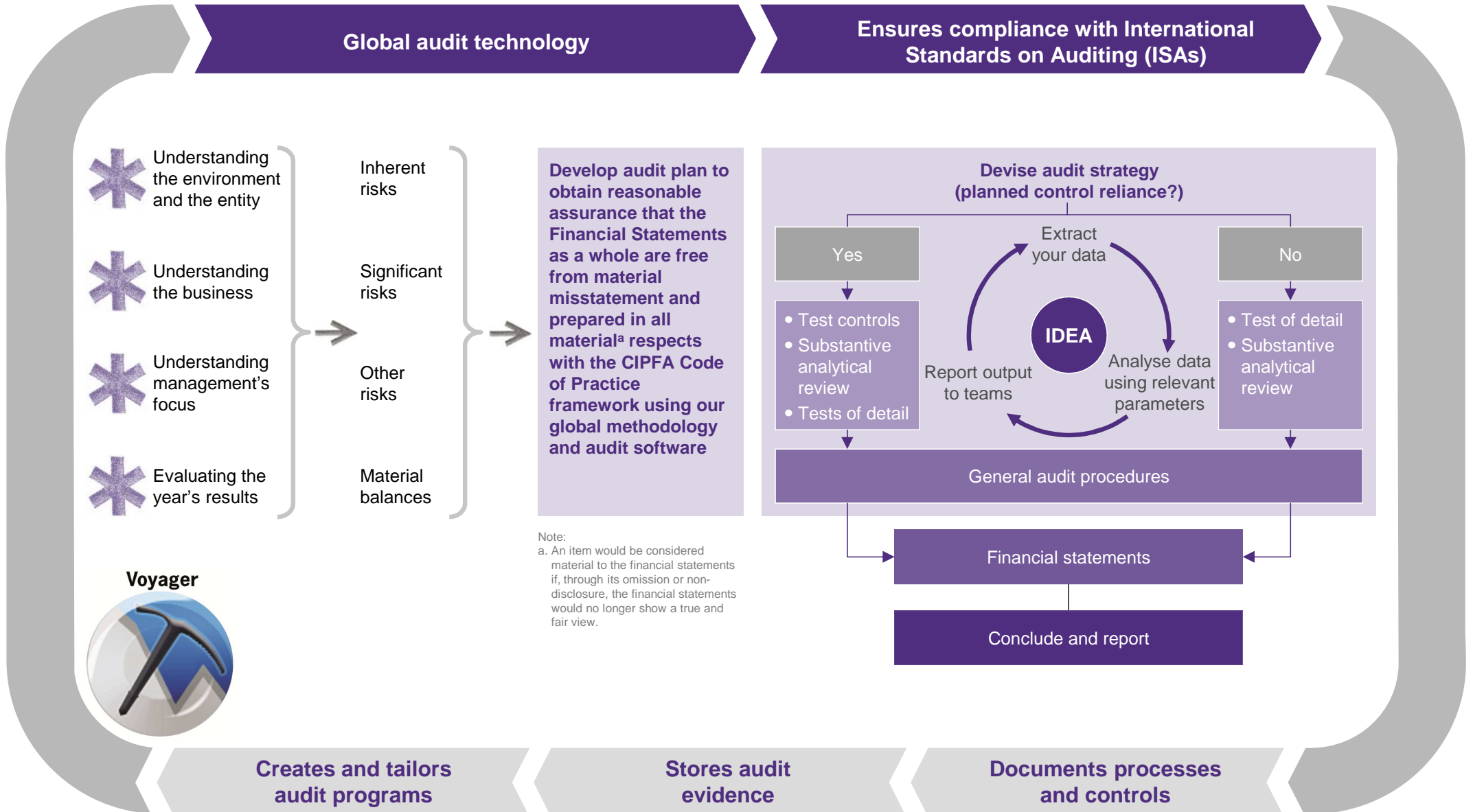
- the Authority complies with the requirements of the CIPFA Code of Practice through discussions with management and our substantive testing.
- We will review the going concern of the Authority.
- the valuation of heritage assets is materially accurate and the valuation of assets is in accordance with IAS 16.

- We will review the arrangements the Authority has in place for the production of the AGS.
- We will review the AGS and the explanatory foreword to consider whether they are consistent with our knowledge of the Park.

- We will review the Authority's performance against the 2014/15 budget, including consideration of performance and Medium Term Financial Planning.

- We will carry out work on the WGA pack in accordance with requirements.

Our audit approach



Significant risks identified

'Significant risks often relate to significant non-routine transactions and judgmental matters. Non-routine transactions are transactions that are unusual, either due to size or nature, and that therefore occur infrequently. Judgmental matters may include the development of accounting estimates for which there is significant measurement uncertainty' (ISA 315).

In this section we outline the significant risks of material misstatement which we have identified. There are two presumed significant risks which are applicable to all audits under auditing standards (International Standards on Auditing – ISAs) which are listed below:

Significant risk	Description	Substantive audit procedures
The revenue cycle includes fraudulent transactions	<p>Under ISA 240 there is a presumed risk that revenue may be misstated due to the improper recognition of revenue.</p> <p>This presumption can be rebutted if the auditor concludes that there is no risk of material misstatement due to fraud relating to revenue recognition.</p>	<p>Having considered the risk factors set out in ISA240 and the nature of the revenue streams at Dartmoor National Park Authority, we have determined that the risk of fraud arising from revenue recognition can be rebutted, because:</p> <ul style="list-style-type: none"> • there is little incentive to manipulate revenue recognition. • opportunities to manipulate revenue recognition are limited. • the culture and ethical frameworks of National Parks, including Dartmoor National Park Authority, mean that all forms of fraud are seen as unacceptable; and • 70% of funding is received from a DEFRA grant.
Management over-ride of controls	Under ISA 240 the presumption that the risk of management over-ride of controls is present in all entities.	<p>Work completed to date:</p> <ul style="list-style-type: none"> • Review of accounting estimates, judgments and decisions made by management. • Review of unusual significant transactions. <p>Further work planned:</p> <ul style="list-style-type: none"> • Review of accounting estimates, judgments and decisions made by management. • Testing of journal entries. • Review of unusual significant transactions.

Other risks identified

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

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

Other risks	Description	Audit Approach
Operating expenses	Creditors understated or not recorded in the correct period (Operating expenses understated)	Work completed to period 10 (January 2015): We have: <ul style="list-style-type: none">• Documented our understanding of processes and key controls.• Undertaken walkthrough of key controls to assess the design effectiveness.• Performed early substantive testing on operating expenses incurred. Further work planned: <ul style="list-style-type: none">• Substantive testing on operating expenses incurred for the remainder of the year.• Search for unrecorded liabilities.• Substantive testing on year-end creditors.
Employee remuneration	Employee remuneration accruals understated (Remuneration expenses not correct)	Work completed to period 10 (January 2015): We have: <ul style="list-style-type: none">• Documented our understanding of processes and key controls.• Undertaken walkthrough of key controls to assess the design effectiveness.• Completed analytical procedures.• Performed early substantive testing. Further work planned: <ul style="list-style-type: none">• Substantive testing for the remainder of the year.• Complete analytical procedures.

Value for money

Value for money

The Code requires us to issue a conclusion on whether the Authority has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources. This is known as the Value for Money (VfM) conclusion.

Our VfM conclusion is based on the following criteria specified by the Audit Commission:

VfM criteria	Focus of the criteria
The organisation has proper arrangements in place for securing financial resilience	The organisation has robust systems and processes to manage financial risks and opportunities effectively, and to secure a stable financial position that enables it to continue to operate for the foreseeable future
The organisation has proper arrangements for challenging how it secures economy, efficiency and effectiveness	The organisation is prioritising its resources within tighter budgets, for example by achieving cost reductions and by improving efficiency and productivity

The Audit Commission has determined that a light-touch approach to Value for Money (VFM) work will continue in 2014/15 for larger relevant bodies, which includes national park authorities.

This approach will be based primarily on a review of the annual governance statement. We will review the results of the work of the Commission and other relevant regulatory bodies or inspectorates to consider whether there is any impact on our responsibilities.

We will also review the Authority's performance against the 2014/15 budget, and the longer term position in the Medium Term Financial Plan, to assess how the Authority is managing its service provision with less resources as a result of the cuts to National Park Grant.

We are required to conclude whether or not there are any issues arising from our VFM work that we need to report. The results of our VfM audit work and the key messages arising will be reported in our Audit Findings report and in the Annual Audit Letter.

Results of interim audit work

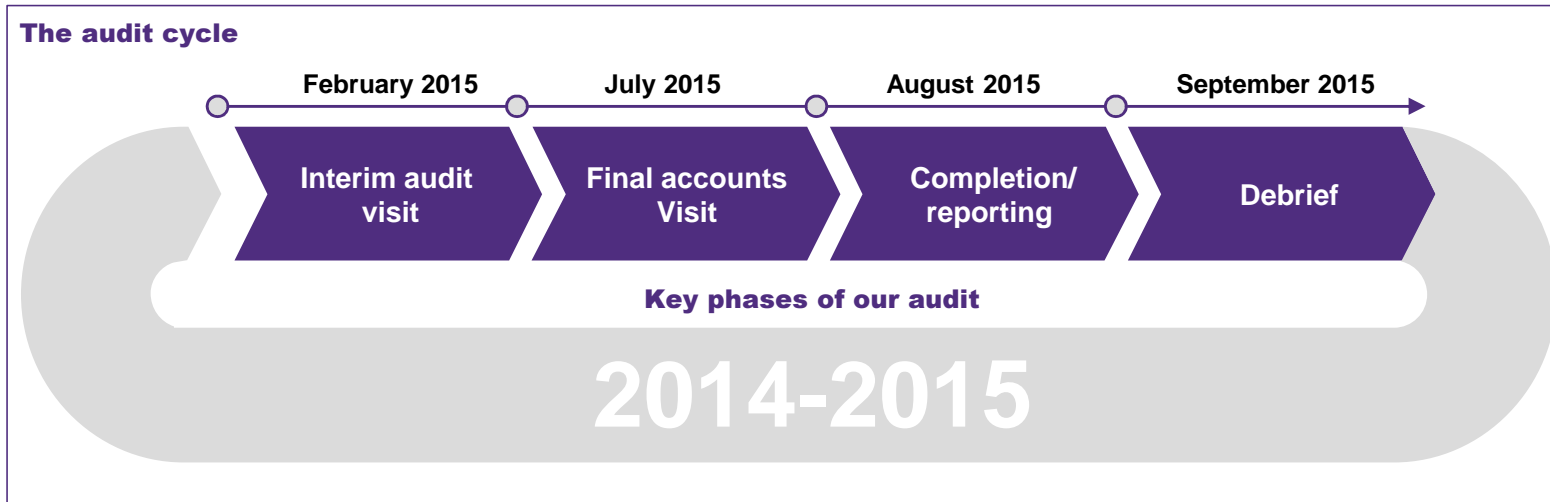
The findings of our interim audit work, and the impact of our findings on the accounts audit approach, are summarised in the table below:

	Work performed and findings	Conclusion
Internal audit	<p>We have completed a high level review of internal audit's overall arrangements. Our work has not identified any issues which we wish to bring to your attention.</p> <p>We also reviewed internal audit's work on the Authority's key financial systems to date. We have not identified any significant weaknesses impacting on our responsibilities.</p>	<p>Overall, we have concluded that the internal audit service continues to provide an independent and satisfactory service to the Authority and that internal audit work contributes to an effective internal control environment at the Authority</p> <p>Our review of internal audit work has not identified any weaknesses which impact on our audit approach.</p>
Walkthrough testing	<p>We have completed walkthrough tests of controls operating in areas where we consider that there is a risk of material misstatement to the financial statements.</p> <p>Our work has identified one issue which we wish to bring to your attention. The variances identified as part of the payroll reconciliation processes have not been reviewed in a timely manner (at least monthly). Internal controls in all other areas have been implemented in accordance with our documented understanding.</p>	<p>Our work has not identified any weaknesses which impact on our audit approach. However, we did note that identified variances in payroll had not been reviewed in a timely manner (at least monthly).</p>
Entity level controls	<p>We have obtained an understanding of the overall control environment relevant to the preparation of the financial statements including:</p> <ul style="list-style-type: none"> • Communication and enforcement of integrity and ethical values • Commitment to competence • Participation by those charged with governance • Management's philosophy and operating style • Organisational structure • Assignment of authority and responsibility • Human resource policies and practices. 	<p>Our work has identified no material weaknesses which are likely to adversely impact on the Authority's financial statements.</p>

Results of interim audit work cont'd

	Work performed	Conclusion
Review of information technology controls	The information technology for Dartmoor National Park are supplied and supported by Devon County Council. Our information systems specialist will perform a high level review of the general IT control environment, as part of the overall review of the internal controls system at Devon County Council.	We will inform the Audit Committee on the results of our work. We will obtain assurance from the Auditor of Devon County Council.
Journal entry controls	We have reviewed the Authority's journal entry policies and procedures as part of determining our journal entry testing strategy and have not identified any material weaknesses which are likely to adversely impact on the Authority's control environment or financial statements.	Our work has not identified any weaknesses which impact on our audit approach. We will undertake further substantive testing of journal entries as part of our final accounts fieldwork.
Early substantive testing	We have endeavoured to complete as much testing as possible during our interim audit, we have undertaken early substantive testing to period 10 (January 2015) in the following areas: <ul style="list-style-type: none"> • Operating expenses • Employee remuneration • Grants Received • Other Revenue • Property, Plant and Equipment. 	Our work has not identify any issues, We will complete the substantive testing for the remaining periods as part of our final accounts fieldwork.

Key dates



Date	Activity
February 2015	Planning.
February 2015	Interim site visit.
May 2015	Presentation of audit plan to Audit Committee.
July 2015	Year end fieldwork.
July 2015	Audit findings clearance meeting with Chief Finance Officer.
4 th September 2015	Report audit findings to those charged with governance (Authority).
September 2015	Sign financial statements opinion.
October 2015	Annual Audit Letter.

Fees and independence

Fees

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

Fees for other services

Service	Fees £
None	Nil

Our fee assumptions include:

- Supporting schedules to all figures in the accounts are supplied by the agreed dates and in accordance with the agreed upon information request list
- The scope of the audit, and the Authority and its activities, have not changed significantly
- The Authority will make available management and accounting staff to help us locate information and to provide explanations

Fees for other services

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

Independence and ethics

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

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

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

Communication of audit matters with those charged with governance

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

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

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

Respective responsibilities

This plan has been prepared in the context of the Statement of Responsibilities of Auditors and Audited Bodies issued by the Audit Commission (www.audit-commission.gov.uk).

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

Our annual work programme is set in accordance with the Code of Audit Practice ('the Code') issued by the Audit Commission and includes nationally prescribed and locally determined work. Our work considers the Authority's key risks when reaching our conclusions under the Code.

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

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

Appendices

Action plan

Priority

High - Significant effect on control system

Medium - Effect on control system

Low - Best practice

Rec No.	Recommendation	Priority	Management response	Implementation date & responsibility
1	Review payroll variances identified in a timely manner.	Medium	<p>Accepted. 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. It is time consuming to produce which has been a factor in the checks not being done in a timely manner. We have arranged for our payroll provider HR One to provide an automatic exception report on a monthly basis which we will then check. A sample report has been provided (Feb 2015) which we need to review and then set up as a monthly process.</p> <p>Two actions: 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>	<p>30 April 2015 (from April 2015 pay run onwards)</p> <p>Neil White Head of Human Resources/Head of Organisational Development.</p>



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DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

15 May 2015

FINANCIAL OUTTURN 2014/15 (Provisional)

Report of the Head of Business Support

Recommendation : **That, subject to any amendments, Members:**

- (i) Note the content of this report;**
- (ii) Recommend to the Authority that the 2014/15 revenue surplus of £222,264 (provisional) is transferred to Reserves;**
- (iii) Recommend to the Authority that grants and contributions received with specific conditions or restrictions and monies set aside for contractual commitments are transferred into earmarked reserves, as set out in section 3.4 of the report**

1 Introduction

- 1.1 The Authority is required to set a balanced budget at the start of each financial year.
- 1.2 The 2014/15 net revenue budget was £3,993,056 after bringing forward Reserves balances from 2013/14. Robust budget management and financial control has been maintained throughout the year which is essential to ensure priorities are delivered in accordance with the Authority's plans.
- 1.3 This committee has received detailed financial management reports on a quarterly basis and has therefore been kept up to date regarding in-year variances and the forecast outturn.

2 The (provisional) 2014/15 Financial Outturn

- 2.1 The financial outturn position as at 31 March 2015 can be found at Appendix 1 and after transfers, to and from, reserves there is a surplus of £222,264. A detailed variance analysis is provided at Appendix 2.
- 2.2 The Authority has once again has proved successful in leveraging in additional income, and has continued to make operational and efficiency savings.
- 2.3 We have incurred some (planned) overspends which predominately relate to repairs and maintenance to our premises at Parke and Princetown and the purchase of additional stock for resale at the visitor centres. However, overall, there is a significant revenue surplus at year end. The main variations against the budget, which have contributed to the outturn surplus are set out in Table 1 below.

Table 1.

Operational & Efficiency Savings:	£
Salaries	38,137
Travel & Transport	5,517
In-year gain from stock valuation (understatement in prior year)	37,557
Training	8,042
Members' allowances and expenses	7,045
Telephone contracts	3,000
ICT Contracts	9,000
Consultancy (external support) contracts	13,415
Various	13,000
External funding for the Hill Farm Project, replacing our own budget	12,000
Additional Income:	
Charges for filming rights	5,542
External funding towards overheads/management costs (Mires/WHH)	15,456
Adopt a Monument, HER audit, Properties in Care grants	4,010
Donations (including car park cairns)	7,497
Retail sales	50,677
Advertising: Enjoy Dartmoor	4,461
Recharge of Officer time to other organisations	4,000
Renewable Heat Incentive	9,145
Planning Fees	33,504
Gallery Sales commission	1,899
Royalties	3,000
Treasury	5,998
Various fees & charges	8,909
Other Grants	5,000
Total	305,811

- 2.4 A Project Fund budget of £85,608 was approved at the start of the year. The fund has been fully utilised. Although some projects or works had not been completed at year end and are therefore included in the carry forward requests set out in section 3.4 of this report.
- 2.5 The Authority has, as ever, a complex work programme and, following reductions in National Park Grant and a much reduced workforce, management of work programmes continues to be challenging.
- 2.6 The Authority has also embarked on a five year, £3.9m Heritage Lottery Fund (HLF) Landscape Partnership Project: “Moor than Meets the Eye” and is the lead accountable body. The income and expenditure relating to this project is accounted for separately and is therefore not included in our own Statement of Accounts. The Scheme Manager is line managed by the Director of Conservation and Communities and reports to the Landscape Partnership Board (Mr Lloyd represents the Authority on the Board) and the HLF. Members are to be kept informed of the Scheme progress, the financial implications and the associated risks via the Audit and Governance Committee.

3 Transfers to and from Reserves

- 3.1 The draft financial outturn position as at 31 March 2015 can be found at Appendix 1. The first three columns marked as “a” shows the Original Budget, in-year budget movements and the subsequent Revised Budget. In-year movements include virements between budgets and transfer of monies for successful bids from the Project Fund.
- 3.2 The column marked as “b” in green shows the Outturn position before appropriations to and from reserves. These appropriations are made at year end and are explained in 2.3 & 2.4 below.
- 3.3 Transfers from Reserves (column “c” pale blue and set out in table 2 below) represent the 2013/14 work programme slippage and income bought forward (NPA/14/027) along with the in-year allocations approved by the Authority.

Table2.

Transfers from Reserves (column c)	£
Natural England grant: Farming Futures	14,230
Holne Leat: repair work	6,450
English Heritage grant: White Horse Hill	46,647
Conservation Area appraisals work	7,944
DCC: Public Rights of Way work outstanding	12,547
Defra: Public Rights of Way flood repairs	29,297
Princetown Visitor Centre: refurbishment works	63,057

Ashburton Masterplan	22,274
Contribution for: Rural Community Broadband project	10,000
Postbridge Village Hall feasibility study	3,000
Greater Dartmoor LEAF	1,250
Holne Shop	400
NHB: Public Realm improvement works	13,570
Your Dartmoor Grant Fund balance (awarded not paid)	89,714
Reserves used to balance the 2014/15 budget	68,708
Total	389,088

3.4 In March 2014, the Authority received a £150,000 one-off contribution from Defra to effect flood and storm damage repairs to the Public Rights of Way within the Park boundary. It was carried forward into reserves as it was received too late to spend in the 2013/14 financial year. As at 31 March 2015 actual cash expenditure incurred and therefore matched with balances in reserves is £29,297. Contracts and orders have been placed which will mean all of the remaining balance will be used in the early part of the 2015/16 financial year. For example:

- Replace the footbridge over the river Swincombe, which is being led by Devon County Council (contribution of £43,000)
- Replace/repair the Nun's Cross Path (circa £46,000)
- Works to various other footpaths, bridleways, stepping stone crossings

The Head of Recreation, Access and Estates can provide Members with more detail if required.

3.5 Proposed transfers to Reserves (column "d" pale blue and set out in table 3 below) relate to grants received and specific work programmes and commitments that are to be continued in 2015/16

Table 3.

Transfers To Reserves (column d)	£
Natural England grant: Farming Futures	14,230
Prince's Countryside Fund grant: Hill Farm Project	7,891
English Heritage grant: White Horse Hill	15,536
English Heritage grant: Historic Farmsteads	5,230
DCC: Public Rights of Way works	10,984
Natural England & partners grant: Haytor Hoppa	,1,750

Princetown Visitor Centre: refurbishment works	33,846
Postbridge Visitor Centre: Design contract	11,650
DCC: Naturally Healthy Dartmoor project grant	12,294
Contribution for the Rural Community Broadband project	10,000
DCLG grant: Vanguard Right to Buy Project	10,000
Ashburton Masterplan	4,809
Strategic Housing	3,580
Gypsy and Traveller Accommodation Assessment	1,996
Your Dartmoor Grant fund balance (awarded not paid)	53,500
Aerial Photography contract	11,678
New pool vehicle	12,596
WDBC: Communities Fund Grant balance (awarded not paid)	15,755
SHDC: Communities Fund Grant balance (awarded not paid)	17,627
TDC: 2015/16 Communities Fund Grant	25,000
Total	279,952

3.6 The draft outturn position as at 31 March 2015 after transfers to and from reserves is therefore set out in the final column of Appendix 1 (labelled column “e” green).

4 Capital Programme and Prudential Indicators

4.1 The Authority set a small capital programme for 2014/15 totalling £51,100 funded from revenue reserves, consisting of replacement 3 lease vehicles, only two of which have been delivered. A new committee room microphone system was also purchased in-year, funded from the Project Fund, which will also be capitalised in accordance with our accounting policies.

Table 4.

Capital Expenditure	£
Rangers: Land Rover (delivered)	19,337
Conservation Works: Ford Ranger (delivered)	19,167
Committee Room Microphone System (installed)	15,722
Pool Car (not yet delivered, therefore carry forward request)	12,596

The Capital Programme Outturn is therefore £54,226. The budget for the purchase of the pool car will be carried forward into reserves, the forecast delivery date being early May 2015.

4.2 The Authority has no plans for external borrowing and therefore the remaining prudential indicators do not apply.

5 Reserves

5.1 Full details of the Authority's earmarked reserve balances is set out in appendix 3 and reflects the anticipated net in-year appropriation to reserves of £113,128 i.e. total earmarked reserves balances have increased by this much. A summary is set out in table 5 below.

Table 5.

Earmarked Reserve Balances	£
2014/15 Opening Balance	2,894,009
Use of reserves in 2014/15 (table 2)	(389,088)
Transfers to reserves for specific purposes (table 3)	279,952
2014/15 Revenue Surplus	222,264
Total Earmarked Reserves at 31 March 2015	3,007,137

The General Reserve (unallocated) will be maintained at £300,000 as previously approved by the Authority in February 2015.

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

5.3 Members will recall that when we set the 2015/16 Revenue Budget in February (NPA/15/006) they did not approve a detailed Medium Term Financial Plan (MTFP). At that time, National Park Grant (NPG) for 2015/16 had not been confirmed by Defra and whilst the indicative figure has now been confirmed, we have received warning of potential in-year cuts and have received no indication of NPG settlement figures going-forward.

5.4 The situation that we face is unprecedented in recent times. What is clear is that public sector spending is set on a downward trajectory for at least the next few years but we do not know the speed or scale of any potential cuts. Other issues which create uncertainty include: uncertainty over national pay settlements for the public sector; maintaining the pension contributions determined by the actuary as the workforce reduces; and the impact of pension auto-enrolment.

5.5 This means that the Authority may have to utilise a significant proportion of reserves over the life of the current and future MTFP if significant reductions in NPG are made, either by supporting some revenue spending, paying for redundancy packages or a combination of the two. The MTFP and the judgements and risks surrounding the purpose and the level of reserves held will need to be kept under constant review whilst we wait for clarity about future funding settlements; which is likely to be after the May 2015 General Election and a subsequent Spending Review (as happened in 2010).

5.6 We will need to review our reserve balances over the next few months. In addition to the identified calls on reserves there is also a potential cash flow issue regarding the Landscape Partnership Scheme and Members may need to determine whether to allocate additional money (from reserves) to the Postbridge Visitor Centre Scheme. HLF retain 10 per cent of their grant upon successful completion of the Landscape Partnership scheme this means that the Authority may need to consider using reserves to effectively 'gap fund' projects in the final year of the scheme; we are currently discussing this issue with the HLF and partners. Initial costings from the Architects and Quantity Surveyor appointed to design the Visitor Centre extension indicate that the allocated budget may not be sufficient to achieve the outcomes we seek.

6 Sustainability and Equality Impact

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

7 Conclusions

7.1 The provisional outturn surplus of £222,264 represents a minus 6% variance against the 2013/14 budget (£47,974 a minus 1.07% variance in 2013/14). The final outturn position may change very slightly over the next month as we complete the last few year-end transactions, but no further significant variations are anticipated at this time. A verbal update will be given at the meeting. The final Outturn Report will be presented to the Authority for approval on 5 June 2014.

7.2 Given reduced staff capacity (25% less compared to the start of the Comprehensive Spending Period), an ambitious work programme and the record of achievement and performance reported elsewhere on this agenda, 2014/15 has been a year of sound financial management. It was always anticipated that there could be some slippage in programmed work, especially in relation to the Visitor Centres and some of the more major works projects, where we are working in partnership with others or seeking additional external funding.

7.3 Indeed, it is pleasing to note that once again, in an era of austerity, that there continues to be support for National Parks from our partners and the public, as demonstrated by the additional income received this year which will be used to the benefit of the Park and its communities. Staff and Members should also be congratulated for continuing to maintain a culture of robust financial management and control and for:

- proactively seeking and achieving efficiency savings where ever possible;
- proactively seeking and securing external funding;
- promoting our key messages, which results in financial support in terms of sales, sponsorship, donations and partnership working
- working strategically with our local authority neighbours (Teignbridge, West Devon, South Hams and Devon County Councils) with whom we achieve so much more together

7.4 The 2014/15 Statement of Accounts will be Authorised for Issue by the Chief Financial Officer by 30 June and will be presented to the Authority for review. The Statement of Accounts will be available for public inspection during July. The audit process will commence on 3 August and the Grant Thornton will present the Audit Letter to the Authority on 4 September.

DONNA HEALY

Background Papers

NPA/AG/14/052 - Financial Management 1 April to 30 September 2014

NPA/AG/15/001 - Financial Management 1 April to 30 December 2014

NPA/14/008 – 2014/15 Net Revenue Budget, Medium Term Financial Plan & Capital Budget

NPA/14/027 – Financial Outturn 2013/14

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

Attachments – Appendix 1 - 2014/15 Provisional Outturn & Appropriations to/from reserves
Appendix 2 - 2014/15 Outturn Variances
Appendix 3 – Earmarked Reserve Balances
Appendix 4 – Risk Based Analysis of Reserve Balances

Dartmoor National Park Authority 2014/15 Financial Outturn & Transfers To/(From) Reserves

Appendix 1 to NPA/AG/15/005

	a	a	a	b	c	d	e	f	
Services	2014/15	2014/15	2014/15	2014/15	2014/15	2014/15	2014/15	2014/15	
	Original Budget	Budget Variation	Revised Budget	Outturn pre Reserve Transfers	(From) Reserves in-year	To Reserves @ 31 March 15	Revised Outturn	Year End Deficit/ (Surplus)	Final Year End Variances (after reserve transfers)
	£	£		£	£	£	£	£	
Biodiversity	100,303		100,303	107,372			107,372	7,069	Maternity cover
Land Management	13,056	500	13,556	11,351	(20,680)	14,230	4,901	(8,655)	Underspends: Pony Support & Management Agreements. Filming income.
Woodlands	40,565		40,565	40,489			40,489	(76)	
Hill Farm Project	26,501		26,501	6,386		7,891	14,277	(12,224)	New grant funding received (PCF) resulting in budget saving
Directorate Costs	3,730		3,730	5,345			5,345	1,615	Uniform
Natural Environment	184,155	500	184,655	170,943	(20,680)	22,121	172,384	(12,271)	
Archaeology	100,858		100,858	118,315	(46,647)	15,536	87,204	(13,654)	Underspends: Bellever day cancelled, Minor Works. Overheads/management costs recovered via externally funded projects & other fees and charges
Built Environment	39,435		39,435	39,755	(7,944)	5,230	37,041	(2,394)	Conservation Character appraisals cancelled, Historic Farmsteads work c/fwd
Moor Than Meets the Eye Development Phase			0	1,678			1,678	1,678	Deficit from development phase
Higher Uppacott	26,228		26,228	21,861			21,861	(4,367)	Savings: premises works. Income: donations & events
Cultural Heritage	166,521	0	166,521	181,609	(54,591)	20,766	147,784	(18,737)	
Visitor Management	107,228	9,000	116,228	112,403			112,403	(3,825)	Savings: Toilet grants. Income: donations
Access	98,322		98,322	90,656			90,656	(7,666)	Savings: CROW & terminated access agreements. Income: £ for the park & works recharged
Public Rights of Way	81,596		81,596	113,823	(41,844)	10,984	82,963	1,367	
Sustainable Transport & Tourism	24,090		24,090	25,895		1,750	27,645	3,555	JE regrading. Welcome guides not produced. C/fwd 2015 /16 Haytor Hoppa Grant
Traffic Management	0		0	302			302	302	
Recreation Management, Traffic & Transport	311,236	9,000	320,236	343,079	(41,844)	12,734	313,969	(6,267)	
Visitor Centres	188,029	20,000	208,029	137,101	(63,057)	45,496	119,540	(88,489)	Savings: Salaries. Income: Retail Sales and Info Board advertising. Year end stock adjustment
Communications	174,429	3,000	177,429	183,456			183,456	6,027	Purchase of Timelapse film & music rights. Income: Enjoy Dartmoor Advertising & gallery sales commission
Naturally Healthy Dartmoor			0	(12,294)		12,294	0	0	
Education	114,069	5,055	119,124	113,648			113,648	(5,476)	Savings: vehicle fuel & tyres, training, volunteers. Income: events, Ranger Ralph
Education, Information & Communication	476,527	28,055	504,582	421,911	(63,057)	57,790	416,644	(87,938)	
Rangers	404,076		404,076	390,824			390,824	(13,252)	Savings: vehicle fuel , training, phones & vehicle repairs deferred. Income: donations & recharge officer time (Bicton)
Conservation Works Service	217,413	2,700	220,113	227,232			227,232	7,119	Apprentice contract extended & vehicle servicing costs
Development Management	348,461		348,461	319,155			319,155	(29,306)	Savings: salaries. Income: planning fees. Offsets additional costs for planning appraisals, viability assessments, legal & subscriptions
Forward Planning & Community	183,361	750	184,111	190,811	(50,494)	30,385	170,702	(13,409)	Minerals plan work deferred.
Sustainable Development Fund	75,000	1,037	76,037	102,230	(89,714)	53,500	66,016	(10,021)	Salary savings and balance of grant fund
Corporate and Democratic Core	318,669	10,000	328,669	294,800			294,800	(33,869)	Savings: salaries, Members' expenses & allowances, subscriptions, consultancy. Income: Treasury, royalties, audit fee refund
Information Technology	195,935	17,178	213,113	188,968		11,678	200,646	(12,467)	Savings: salaries, ICT contracts. Income: sale of equipment
Corporate Operating Costs	94,732	1,835	96,567	94,661			94,661	(1,906)	Savings: Pool cars fuel. Income: overheads recharged via external funding.
Resources	180,387		180,387	169,531			169,531	(10,856)	Savings: salaries, training
Legal & Democratic Services	105,455		105,455	92,252			92,252	(13,203)	Savings: salaries. Income: recovery of costs. Offset specialist support costs
Human Resources	142,698	11,815	154,513	157,898			157,898	3,385	Internal secondment to support the conference & visitor Centres
Office Accommodation (Parke)	113,245	2,000	115,245	133,113			133,113	17,868	Works: stable block roof, gabions
Office Accommodation (Princetown)	50,712	738	51,450	67,151			67,151	15,701	Works: drains, rendering, electrics. Income: RHI from biomass boiler
Support Services	883,164	33,566	916,730	903,574	0	11,678	915,252	(1,478)	
Capital	51,100		51,100	38,504		12,596	51,100	0	Replacement pool car to be delivered in May
Project Fund	85,860	(85,608)	252				0	(252)	
Total Net Expenditure	3,705,543	0	3,705,543	3,584,672	(320,380)	221,570	3,485,862	(219,681)	
Funded By:	£	£	£	£	£	£	£	£	
National Park Grant	(3,636,835)		(3,636,835)	(3,636,835)			(3,636,835)	0	
Communities Fund Grant - SHDC				(17,277)		15,755	(1,522)	(1,522)	
Communities Fund Grant - WDBC				(18,688)		17,627	(1,061)	(1,061)	
Communities Fund Grant - TDC				(25,000)		25,000	0	0	
Transfer From Reserves to Balance the Budget	(68,708)		(68,708)	0	(68,708)		(68,708)	0	
Total	(3,705,543)	0	(3,705,543)	(3,697,800)	(68,708)	58,382	(3,708,126)	(2,583)	
Budget Variation - (Under) / Over Spend	0	0	0	(113,128)	(389,088)	279,952	(222,264)	(222,264)	

2014/15 OUTTURN VARIANCE ANALYSIS	Salaries £	Travel & Subsistence £	Premises £	Transport £	Supplies & Services £	Expenditure Overspend (Underspend) £	Grants £	Sales Fees & Charges £	Income Deficit (Surplus) £	Total Variance Deficit (Surplus) £	Explanation
BIODIVERSITY	6,548	106			416	7,070			0	7,070	Maternity cover
LAND MANAGEMENT					(17,343)	(17,343)		(5,542)	(5,542)	(22,885)	Filming income. Farming Futures grant funding to be carried forward. Underspends: pony support
WOODLANDS	(72)	482		283	(431)	262		(337)	(337)	(75)	
HILL FARM PROJECT	(190)	(500)			(2,884)	(3,574)	(14,762)	(1,779)	(16,541)	(20,115)	Prince's Countryside Funding & RDPE grant resulting in budget saving
DIRECTORATE COSTS		725			890	1,615			0	1,615	Replacement Uniform
NATURAL ENVIRONMENT	6,286	813	0	283	(19,352)	(11,970)	(14,762)	(7,658)	(22,420)	(34,390)	
ARCHAEOLOGY	509	(607)			(12,352)	(12,468)	(15,971)	(750)	(16,721)	(29,189)	WHH income to be carried forward. Overheads recovered via external funding
BUILT ENVIRONMENT	396	154			(1,944)	(1,394)	(6,230)		(6,230)	(7,624)	Historic Farmsteads - externally funded by English Heritage c/fwd
MTMTE - Development Phase					1,678	1,678			0	1,678	Deficit from the Development phase of the MTMTE scheme
UPPACOTT			(3,210)		461	(2,749)		(1,618)	(1,618)	(4,367)	Event costs covered by event income. Savings: Premises works
CULTURAL HERITAGE	905	(453)	(3,210)	(18)	(12,157)	(14,933)	(22,201)	(2,368)	(24,569)	(39,502)	
VISITOR MANAGEMENT	(773)		201	699	(2,678)	(2,551)		(1,274)	(1,274)	(3,825)	Savings: Toilet grants. Increased donations
ACCESS & RECREATION	107	(134)		408	(5,143)	(4,762)		(2,904)	(2,904)	(7,666)	
PUBLIC RIGHTS OF WAY	1,252	131			21,296	22,679	(3,000)		(3,000)	19,679	Flood & storm damage work to be met from reserves. C/fwd PROW grant
SUSTAINABLE TOURISM & TRANSPORT	2,655	52			1,099	3,806	(3,500)	1,500	(2,000)	1,806	Job evaluation regrading. Welcome Guides not done this year. C/fwd Haytor Hoppa funding
TRAFFIC MANAGEMENT					302	302			0	302	Speed visor batteries
RECREATION MANAGEMENT	3,241	49	201	1,107	14,876	19,474	(6,500)	(2,678)	(9,178)	10,296	
VISITOR CENTRES	(17,391)	708	(2,137)		(64,488)	(83,308)		(50,677)	(50,677)	(133,985)	Increased retail & stock purchases and new cash tills, increased sales & gallyer commission income. /Fwd unspend refurbishment project budget. Year end stock adjustment
COMMUNICATIONS	2,544	615			6,408	9,567		(3,540)	(3,540)	6,027	SLA in place for Communications Manager Post. Purchase of Timelapse Film & music rights. Gallery sales commission & Enjoy Dartmoor advertising income
NATURALLY HEALTHY DARTMOOR	7,489				216	7,705	(20,000)		(20,000)	(12,295)	Project spans 3 financial years, balance to be c/fwd
EDUCATION	(415)	(390)		(1,108)	(3,010)	(4,923)		(553)	(553)	(5,476)	Savings: vehicles, 1st aid training, Volunteer Group grants. Income Ranger Ralph & events
PROMOTING UNDERSTANDING	(7,773)	933	(2,137)	(1,108)	(60,874)	(70,959)	(20,000)	(54,770)	(74,770)	(145,729)	
RANGERS	335	1,152	(191)	(7,986)	(4,068)	(10,758)		(2,493)	(2,493)	(13,251)	Savings: Fuel, vehicle repairs, training, phones. Income from donations & recharging for officer time
CONSERVATION WORKS	7,334	(61)	(397)	1,436	(590)	7,722		(603)	(603)	7,119	Apprentice contract extended & vehicle running costs. Income from recharging officer time
RANGERS, ESTATES & VOLUNTEERS	7,669	1,091	(588)	(6,550)	(4,658)	(3,036)	0	(3,096)	(3,096)	(6,132)	
DEVELOPMENT MANAGEMENT	(8,429)	235		40	18,195	10,041		(39,346)	(39,346)	(29,305)	Salary savings. Planning appraisals, Legal costs, viability assessments & subscriptions. Increased Planning fee income
DEVELOPMENT MANAGEMENT	(8,429)	235	0	40	18,195	10,041	0	(39,346)	(39,346)	(29,305)	
FORWARD PLANNING & COMMUNITIES	(2,903)	208			(26,571)	(29,266)	(61,887)	(35)	(61,922)	(91,188)	Salary Savings. Public Realm works funded from reserves. Stand alone Minerals Plan will not happen, looking to produce a single consolidated local plan, to include policies. C/fwd committed expenditure and grant income
YOUR DARTMOOR GRANT FUND	(5,365)				(52,773)	(58,138)		(5,385)	(5,385)	(63,523)	Salaries savings and unallocated grant. Event fees offsets event costs. C/fwd commitments
FORWARD PLANNING	(8,268)	208	0	0	(79,344)	(87,404)	(61,887)	(5,420)	(67,307)	(154,711)	
CORPORATE & DEMOCRATIC CORE	(5,379)	(500)		416	(19,407)	(24,870)		(8,998)	(8,998)	(33,868)	Savings include: Salaries, Members allowances & expenses, subscriptions, consultancy and an audit cost refund. Income: Airwick royalties and treasury deposit interest
CORPORATE & DEMOCRATIC CORE	(5,379)	(500)	0	416	(19,407)	(24,870)	0	(8,998)	(8,998)	(33,868)	
INFORMATION TECHNOLOGY	(8,362)	581		89	(15,711)	(23,403)		(742)	(742)	(24,145)	Salary savings. Contract savings against budget estimates. Carry forward Aerial photography contract
CORPORATE OPERATING COSTS				(3,159)	8,334	5,175	(7,156)	(181)	(7,337)	(2,162)	New committee room microphone system being offset by pool cars fuel saving and recovery of overheads from external grant funding
RESOURCES	(9,870)	116			(1,103)	(10,857)			0	(10,857)	Salary savings & staff not in LGPS offsetting temporary agency staff cover for sickness and new
LEGAL	(14,012)	144			4,415	(9,453)		(3,750)	(3,750)	(13,203)	Salary saving. External professional / specialist legal support costs offset by recovery of legal costs
HUMAN RESOURCES	5,921	166			(434)	5,653		(2,267)	(2,267)	3,386	Internal Secondment to support NP Confernece and cross-cutting HR related tasks. Income:
OFFICE ACCOMMODATION (PARKE)	(66)		17,382			17,316		552	552	17,868	External works recharge & recovery of staff cycle scheme bike purchases
OFFICE ACCOMMODATION (PRINCETOWN)			24,675			24,675		(8,974)	(8,974)	15,701	Stable block re-roofing, timber treatment and gabions repairs.
CORPORATE SERVICES	(26,389)	1,007	42,057	(3,070)	(4,499)	9,106	(7,156)	(15,362)	(22,518)	(13,412)	
CAPITAL					(12,596)	(12,596)			0	(12,596)	Pool car to be delivered in May 2015
TRANSFERS TO / (FROM) RESERVES					100,788	100,788	136,297		136,297	237,085	Grant income and project carry forwards at year end
REVENUE EXPENDITURE	(38,137)	3,383	36,323	(8,900)	(79,028)	(86,359)	3,791	(139,696)	(135,905)	(222,264)	

2014/15 to 2015/16 GENERAL FUND RESERVE BALANCES

Appendix 3 to NPA/AG/15/005

Earmarked Reserves	2014/15 Opening Balance £	2014/15 Transfers to Revenue & Within £	2014/15 Transfers from Outturn £	2014/15 Closing Balance £	2015/16 Movements & Commitments £	2015/16 Closing Balance £	Notes
Grants & Contributions with Restrictions							
Defra: Flood & Winter Storm Damage - Grant	(150,000)	29,297		(120,703)	120,703	0	Fully committed against works
Your Dartmoor Grant Fund	(89,714)	89,714	(53,500)	(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)	7,891	0	Project runs from 2015-2017
Natural England - Farming futures	(20,680)	20,680	(14,230)	(14,230)	14,230	0	Approval to employ and Intern 2015-2016
Historic Environment Record	(10,000)	10,000		0		0	Project ended
Englishe Heritage: White Horse Hill	(46,647)	46,647	(15,536)	(15,536)	15,536	0	To fund the Exhibition at Postbridge VC
English Heritage: Historic Farmsteads			(5,230)	(5,230)	5,230	0	Project runs from 2014-2015
Natural England & Partners: Haytor Hoppa			(1,750)	(1,750)	1,750	0	For the 2015 summer service
DCC: Public Rights of Way	(12,547)	12,547	(10,984)	(10,984)	10,984	0	Service Level Agreement fund balance
2013/14 New Homes Bonus	(47,000)	40,250		(6,750)	6,750	0	To fund public realm works and Communities Fund Grants
WDBC: Communities Fund Grant 2015/16		(15,000)		(15,000)	15,000	0	For 2015-2016 financial year
TDC: Communities Fund Grant 2015/16			(25,000)	(25,000)	25,000	0	For 2015-2016 financial year
WDBC: Communities Fund Grant 2014/15			(17,627)	(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)	15,755	0	Grants awarded not paid out as at 31.03.16
DCC: Naturally Healthy Dartmoor Project			(12,294)	(12,294)	12,294	0	Project runs from 2014-2017
DCLG: Vanguard Right to Buy			(10,000)	(10,000)	10,000	0	Grant received at year end, will support the project in 2015-2016
Budget management Fund - Provisions (risk based)							
Employees	(383,000)	32,000		(351,000)		(351,000)	See risk assessment for breakdown
Appeals/Public Enquiries/Litigation	(250,000)			(250,000)		(250,000)	See risk assessment for breakdown
Inflation & loss of income	(84,000)	(18,000)		(102,000)		(102,000)	See risk assessment for breakdown
Redundancy	(100,000)	100,000		0		0	Included under employees
Future reductions in NPG	(608,496)	36,908		(571,588)		(571,588)	To support revenue budget and / or redundancy costs
Year end Surplus (forecast)			(222,264)	(222,264)	12,000	(210,264)	
Property - Repairs & maintenance programme	(222,000)	72,000		(150,000)		(150,000)	See risk assessment for breakdown
Known Commitments							
Broadband	(10,000)	10,000	(10,000)	(10,000)	10,000	0	Rural Community Broadband Project
Holne Shop valuation review	(400)	400		0			
Greater Dartmoor Leaf	(1,250)	1,250		0			
Postbridge Village Hall	(3,000)	3,000		0			
Aerial Photography			(11,678)	(11,678)	11,678	0	Contract not fulfilled in 2014/15
Conservation Area Appraisals	(7,944)	7,944		0			
Princetown Visitor Centre	(63,057)	63,057	(33,846)	(33,846)	33,846	0	Improvements and redesign (internal)
Postbridge Visitor Centre			(11,650)	(11,650)	11,650	0	Architect engaged to redesign the VC under the MTMTE scheme
Ashburton Mater Planning	(22,274)	22,274	(4,809)	(4,809)	4,809	0	On-going contracts (BDP)
2014/15 Chagford Cattle Grid	(3,000)			(3,000)	3,000	0	
Dartmoor Local Plan		(122,500)		(122,500)	128,076	5,576	Between 2015 & 2019 (estimates only/timing unknown)
Gypsy and Traveller Accommodation Assessment			(1,996)	(1,996)	1,996	0	
Strategic Housing Market Needs Assessment (SHMNA)			(3,580)	(3,580)	3,580	0	
Capital Expenditure & sinking fund	(51,000)	51,000	(12,596)	(12,596)	12,596	0	Pool Vehicle replacement delayed
		(12,000)		(12,000)	(12,000)	(24,000)	Vehicle replacement programme
Match Funding Reserve							
HLF - Moor Than Meets the Eye match funding	(200,000)			(200,000)	200,000	0	Scheme delivery commenced 2014
Cycling in National Parks (DFT) match funding	(30,000)			(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)	30,000	0	NPA/14/044 for years 2015-2017
Greater Dartmoor LEAF 2015-2020		(20,700)		(20,700)	20,700	0	NPA/14/038 for years 2018-2020
Naturally Healthy Dartmoor Project		(25,000)		(25,000)	25,000	0	NPA/14/031 for years 2014-2017
Princetown Visitor Centre - Phase II	(100,000)	(46,680)		(146,680)	146,680	0	HLF bid submitted, after round 1 approval
Unallocated fund balance	(78,000)	30,000		(48,000)		(48,000)	
				0			
	(2,594,009)	389,088	(502,216)	(2,707,137)	1,005,861	(1,701,276)	
General Reserve (unallocated emergency reserve)	(300,000)	0	0	(300,000)	0	(300,000)	
Total General Fund Balance	(2,894,009)	389,088	(502,216)	(3,007,137)	1,005,861	(2,001,276)	

2014/15 RESERVES: RISK BASED ANALYSIS	Risk Level	Rate	2014/15 Closing 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:			
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	222
General Reserve - Minimum amount to cover unanticipated costs / emergencies			300
Total Reserve Balance			3,007

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

15 MAY 2015

2014/15 ANNUAL GOVERNANCE STATEMENTReport of the Head of Business SupportRecommendation : **That Members:**

- (i) **note the content of the report;**
- (ii) **recommend that the Authority approve the 2014/15 Annual Governance Statement**

1 Introduction

- 1.1 Every local government body operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes from the services provided.
- 1.2 The CIPFA/SOLACE document “Delivering Good Governance in Local Government: Framework” and regulation 4(3) of “The Accounts and Audit (England) Regulations 2011”, requires that the Authority conduct, at least once in a year, a review of the effectiveness of its system of internal control and that following the review, must approve an Annual Governance Statement, prepared in accordance with proper practices in relation to internal control. The Annual Governance Statement must accompany the Statement of Accounts.
- 1.3 Dartmoor National Park Authority also adopted a Local Code of Corporate Governance in December 2009 and this Code is also reviewed and updated at the same time to evidence improvements and changes made during the year.

2 2014/15 Annual Governance Review

- 2.1 Production and publication of an Annual Governance Statement (AGS) are the final stages of an on-going review of governance and not an activity which can be planned and viewed in isolation. Compilation of an AGS involves the whole Authority:
 - Reviewing the adequacy of its governance arrangements
 - Knowing where it needs to improve those arrangements, and
 - Communicating to users and stakeholders how better governance leads to better quality public services
- 2.2 During 2014/15 the review of the effectiveness of the governance arrangements has been informed by:

- The work of Officers of the Authority, who have responsibility for the maintenance and review of governance;
- The work of the Audit & Governance Committee, who have responsibility for scrutinising performance and reporting to the Authority;
- The work of the Internal Auditor (Devon Audit Partnership);
- By responding to recommendations made by external auditors; and
- The 2013/14 survey of local residents which sought views on the performance of various services provided by the National Park Authority.

2.3 To assist the Authority in reviewing the effectiveness of its governance arrangements Officers use a self assessment style tool to benchmark itself against suggested best practice, which helps to identify any areas of weakness or areas that need improvement. This tool allows us to review a cross section of governance arrangements at once and includes the Authority's:

- General corporate governance arrangements;
- The system of internal control;
- The core principles contained within the Local Code of Corporate Governance; and
- The additional / expanded governance requirements from the Chief Financial Officer Statement

2.4 The draft Annual Governance Statement for Dartmoor National Park Authority for 2014/15 is attached at Appendix 1. Members are invited to comment on the content of the statement which will be taken to Authority for approval in June.

2.5 It is recommended that the action plan for improvements contained in the Annual Governance Statement is implemented and/or continued in 2015/16 and that an on-going review of governance arrangements is continued during the forthcoming financial year, in order to provide reasonable assurance of the effectiveness of the governance framework and ensure compliance with the Local Code of Corporate Governance.

3 Equality and Sustainability Impact

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

4 Financial Implications

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

5 Conclusion

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

- Its system of financial internal control is sound;
- It has arrangements to detect and deter fraud and corruption in place; and

- Its arrangements to ensure the legality of its transactions are adequate and effective.

DONNA HEALY

Background Papers: The CIPFA/SOLACE Framework “Delivering Good Governance in Local Government”
The Local Code of Corporate Governance
The CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010)

ANNUAL GOVERNANCE STATEMENT

2014/15

SCOPE OF RESPONSIBILITY

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

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

DNPA has developed a Local Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government'. A copy of the code is available on our website or from The Monitoring Officer, Dartmoor National Park Authority, Parke, Bovey Tracey, Newton Abbot, Devon TQ13 9JQ. The Annual Governance Statement explains how DNPA has complied with the Local Code of Corporate Governance and also meets the requirements of regulation 4(2) of the Accounts and Audit (England) Regulations 2011 in relation to the publication of a statement on internal control.

THE PURPOSE OF THE GOVERNANCE FRAMEWORK

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

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

The governance framework has been in place at DNPA for the year ended 31 March 2015 and up to the date of approval of the Business Plan and Statement of Accounts. The

framework has been further supported by the Local Code of Corporate Governance, since its adoption in December 2009.

THE GOVERNANCE FRAMEWORK & LOCAL CODE OF CORPORATE GOVERNANCE

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

The key elements of the systems and processes that comprise DNPA's governance arrangements are based on the 6 core principles contained in the Local Code of Corporate Governance and include the following aspects:

- The vision, objectives and priorities for the local area (Dartmoor National Park) for the period 2014 -2019 as set out in "Your Dartmoor", the National Park Management Plan (NPMP). "Your Dartmoor" was developed via a process of extensive community involvement and the associated action plans are being revised annually in a process involving a wide range of partners/stakeholders
- The Business Plan for the Authority is a strategic document which provides a link between the National Park Management Plan, and work programmes (for teams and individuals). The Business Plan, including priorities and targets, is reviewed annually and a separate annual review is produced in June to report on performance and highlight key projects undertaken in - year.
- The Authority's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer (CFO) in Local Government (2010) as set out in the Application Note to "Delivering Good Governance in Local Government". The CFO is the County Treasurer of Devon County Council whose services are retained through a Service Level Agreement. This arrangement which requires some delegation to the Head of Business Support is set out in Financial Regulations.
- The principles of decision making are set out in the Authority's Standing Orders, supported by:
 1. Financial Regulations, a Disposals Policy, a Sustainable Procurement Policy and Procurement Procedures;
 2. The Authority's adopted codes of practice in relation to treasury management for investments and for capital finance and accounting (the Prudential Code)
 3. Scheme of Delegation
 4. Code of Conduct for Members and Officers
 5. Job descriptions for Members and Officers
 6. Policies and Procedures
- Public involvement and transparency in decision making is facilitated through formal consultations, workshops, involvement in service reviews, consultative forums with

members of the community representing access, land use, conservation, businesses and community interests and public participation at the Authority and its Committees

- Ensuring that established policies, procedures, laws and regulations are complied with is the responsibility of nominated statutory Officers, the Monitoring Officer and the Chief Financial Officer as laid down in the Authority's Standing Orders & Financial Regulations
- A Risk Management Strategy that defines and identifies the process for ongoing risk management and the responsibilities of the various stakeholders in the risk management process
- A Corporate Strategic Risk Register is discussed and approved annually by the Authority and then actively monitored/reviewed on a regular basis within year by the Audit and Governance Committee. The Authority's internal project management guidance requires identification and management of risks. The strategic risk register is monitored by Leadership Team on a quarterly basis together with consideration of more operational risks.
- A programme of service reviews or value for money/business reviews that look closely at and challenge service provision and delivery and discharges the Government's Value for Money requirements for the Authority
- Comprehensive budgeting systems set targets to measure financial performance which reviewed by the Leadership Team and is reported to the Audit and Governance Committee on a quarterly basis.
- Performance management is applied consistently throughout the Authority against a Performance Management framework. Reports of progress against performance targets is reported quarterly to Audit & Governance Committee
- Performance against Corporate processes and outcome targets is further assessed through the National Park Authority Performance Assessment (NPAPA) process on a 5 yearly cycle. DNPA was assessed in February 2011. The next review process is subject to discussion between the Department of the Environment, Food and Rural Affairs (Defra) and all ten English National Park Authorities..
- Standards sub-Committee monitors the ethical framework for the Authority and will alert the Authority to any potential issues arising from its decision making processes.

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

REVIEW OF EFFECTIVENESS

Dartmoor National Park Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of the effectiveness of the system is informed by the work of the Leadership Team and other Officers within the authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's (Devon Audit Partnership) annual report and also by responding to comments and recommendations made by external auditors and other review agencies and inspectorates.

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

Although a review of the effectiveness of the Governance arrangements is reported once per year to the Authority, the process of gathering evidence and monitoring performance is continual and is managed through reports to Audit & Governance Committee.

Significant improvements have been undertaken during 2014/15 as follows:

- Implemented the changes resulting from Defra's review of Governance arrangements in National Park Authorities, which commenced in 2012
- Rolled out Finance and Procurement training across the Authority
- Continued with a major refurbishment scheme at the National Park Visitor Centre, Princetown
- Undertook a Value for Money Review of the Service Level Agreement the Authority has with Devon County Council for maintaining Public Rights of Way. Agreed a revised approach to the management of public rights of way within the National Park which will be trialled in 2015/16 for potential roll-out across the National Park in 2017/18
- Developed and consulted on a new draft Communications Strategy for the Authority, with a particular focus on external communications and community engagement
- Undertook a staffing and structure review of the Leadership Team to seek further reductions in the Authority's salary budget, reflecting the future uncertainty in the level of National Park Grant funding received from Defra
- Reviewed our Governance arrangements, Scheme of Delegation & financial regulations to reflect the new Leadership Team structure
- Adopted an Affordable Housing Supplementary Planning Document (SPD) in order to guide Local Plan Policies
- Approved the Local Development Scheme – a timetable for the Development Plan preparation and review
- Became the lead Partner to deliver the 5 year "Moor Than Meets the Eye" Heritage Lottery Funded Landscape Partnership scheme
- Developed a joint Economic Prospectus for Dartmoor and Exmoor National Parks to clarify the role of the two Authorities in economic development and the opportunities for sustainable rural growth

- Set up the Dartmoor Communities Grant Fund, in partnership with West Devon Borough, South Hams District and Teignbridge District Councils
- Adopted a Sponsorship Policy to aid the development of new fundraising and income generation
- Approved the Chagford Masterplan
- Approved the commencement of charging for pre-application planning advice
- The Ranger Service gained membership of the Community Safety Accreditation Scheme

GOVERNANCE ISSUES

Although the Authority has been assessed as having strong Governance arrangements in place, to ensure continuous improvement, it is proposed that the following work is undertaken during 2015/16:

- Adopt a new Communications Strategy, with a particular focus on external communications and community engagement
- Review the Statement of Community Involvement – which sets out how we engage with stakeholders on Plan preparation
- Develop an organisational development strategy to support staff, volunteers and members improve processes and sustain high performance
- Develop a revised website as a two-way tool for communication, focused on user needs
- Continue to work at a national and local level to develop fundraising and new income sources
- Engage, via National Parks England, with the forthcoming spending review and respond as required to future funding settlement

CERTIFICATION

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

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

Signed:
Chairman of the Authority

Signed:.....
K D Bishop
Chief Executive (National Park Officer)

Date:

Date:

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

15 May 2015

PERFORMANCE MONITORING REPORT FOR 2014/15Report of the Head of Organisational DevelopmentRecommendations : **That Members:**

- (i) **note the content of the report**
- (ii) **analyse the performance for 2014/15 and consider any action which may be taken to improve and maintain good performance or to address under performance**
- (iii) **consider the proposed targets for 2015/16 and make recommendations for changes as required**

1 Purpose of the Report

- 1.1 This report informs Members of performance against Dartmoor National Park Authority performance targets for 2014/15. It also provides an opportunity to discuss, query and challenge performance against each indicator ahead of a similar report being presented to the Authority in June 2015.
- 1.2 The proposed targets against each performance indicator for 2015/16 are included in Appendix 1 for Members consideration.

2 Performance for 2014/15

- 2.1 Attached at Appendix 1 (colour document) is the performance of the Authority against the agreed targets set in the Business Plan 2014/15. Performance is recorded against a list of indicators that are set at either a national or local level (marked **N** or **L** on the appendix).
- 2.2 National performance indicators are agreed by all English National Park Authorities to provide a comparison between Parks and to enable good practice to be shared via the Joint Improvement Group.
- 2.3 Local Indicators are determined by the Authority as these are considered useful indicators to highlight performance of key services and/or the impact of the Authority.
- 2.4 Further explanation regarding the performance for 2014/15 is set out below under each of three strategic themes – Sustain, Enjoy, Proper (same order and reference numbers as shown in Appendix 1). Members will note that the performance indicators contain a combination of indicators that assess service performance and some that are reporting on the 'state of the National Park'.

3 SUSTAIN**S3**

During 2014 /15, we removed 20 scheduled ancient monuments (SAMs) from our "at risk" register. This excellent outcome was achieved through the good working relationships the

archaeology team have developed both within the Authority and with our partner organisations (especially Historic England and Natural England) and also with local landowners, common associations and local volunteer groups.

A highlight this year has been the success of the volunteer days jointly organised with the Ranger Service. Through this developing scheme six SAMs were removed as a result of these positive (and highly enjoyable!) conservation works days.

Officers are proposing that the target for 2015/16 be increased to 15 (it was 10 for 2014/15).

S6

Our Ecology team have continued their engagement with owners of County Wildlife Sites conducting about 12 visits this year. It is worth noting that the national average for these sites being in good condition is around 70%, so our performance of 89% remains very good even if just shy of the 90% target.

S7

The surveying of known erosion sites by our Ranger Service is ongoing with a further 73 sites to be surveyed next year. Once this is completed we will be able to establish clear targets for 2016/17 and thereafter.

S8

The figure of 64% for 2014/15 has been calculated based on data sets provided, however, we are still clarifying these figures with Natural England.

S9

The Hill Farm Project exceeded the training target (which was linked to original Rural Development Programme for England funding) by responding to requests from farmers for assistance and guidance to deal with changing legislation.

The training provided included sprayer training, secretarial sessions, a succession and tax meeting, fire training and a study tour to France. Despite demand for more of the same, a reduction in available funding for training is likely to see reduced delivery over the next two years.

The targets going forward reflect the agreed outcomes set out in the Princes Countryside Fund grant.

S11

We have exceeded our target (-6%) for reducing carbon emissions from our operations: the percentage reduction on 2013/14 was 7.9%. The biomass boiler that was installed at Princetown Visitor Centre has contributed significantly to this reduction – 2014/15 was the first full year of operation for the boiler. In addition, we have continued to reduce energy consumption through measures such as more efficient lighting and hand dryers.

Looking ahead we cannot realistically expect to continue with reductions at the same pace as the previous two years and therefore a target of -4%, which is still ambitious, is proposed for 2015/16.

S12

The number of working days lost due to sickness absence for the year is 9.26 (per full time equivalent) against a target of 5 days. When long-term absence (sickness absence in excess of 4 calendar weeks – 7 cases this year) is removed the absence rate is 5.21 days per employee. The table below provides the absence levels for the last 5 years:

Year	Outturn	Q1 days	Q2 days	Q3 days	Q4 days	Total	FTE
14/15	9.2	124	188	205.5	203	720.5	79.0
13/14	7.5	106.5	62.5	150	274	593	79.1
12/13	5.4	113.5	109.5	63.5	141	427.5	78.8
11/12	8.9	180.5	262	232.5	140.5	815.5	91.7
10/11	7.9	212	184	170	223	789	99.9

To provide some context, the Chartered Institute of Personnel and Development's Absence Management Survey 2014 reported that the national average across all sectors is 6.6 days per employee; 7.9 days for the public sector.

We have a clear and robust Attendance Management Procedure and a positive approach to supporting staff who are absent from work as well as actively managing an effective return to work. We provide an Employee Assistance Programme via Health Assured. We also need to accept that there will always be cases where we have no control. During 2014/15 one such case led to an absence of 113 days, without which our performance would 'improve' to 7.8 days.

However this increasing trend is a concern and we are committed to investigating this further. The first step, to better understand our absence data, has already started. As part of a review of staff absence, which we plan to do with staff groups and their representatives (UNISON), we will be considering a number of options including a review of our procedure, training for staff and managers, exploring best practice and learning lessons from other organisations.

Due to budget reductions in 2014/15 we stopped running quarterly wellbeing workshops for staff, although it is difficult to say whether this has had a direct impact on our performance. What is clear is that we must ensure that our focus on valuing and supporting staff is maintained in the future.

A target of 7 days per employee (4 days excluding long-term absences) is proposed for 2015/16 as this is seen as realistic given our current performance.

S13

Enforcement cases resolved without formal action remains high with an overall year-end result of 88%. This reflects the excellent work of the enforcement team in resolving difficult issues without resorting to legal action. This equates to 224 breaches out of 256. At year end the number of cases outstanding was also down from 164 (end of Q4 2014) to 153.

S14

Member attendance at meetings of the Authority (84%) is slightly below the target of 85%. Whilst attendance levels at Development Management and Authority meetings is good, attendance at Audit and Governance Committee meetings is just 67%.

S17

The percentage of appeals allowed over the full year is slightly above the former government target of 33% which is still used as a benchmark of good performance. In Quarter 2 there was a spate of decisions contrary to the Authority's determination based on a different opinion by an inspector. The actual number of appeal decisions in this quarter was however low (4 out of 5 allowed). This statistical anomaly was redressed in the last two quarters with only 2 out of 14 appeals being allowed.

4 ENJOY

E1

Our Visitor Centres have enjoyed a successful year. There was a 14% increase in visitor numbers. This was due to the enhancements at Princetown, greater promotion of the Centres locally, promotion through awards (Visit Devon and South West Tourism) and an increase in events at the Visitor Centres.

In 2015/16 we aim to increase numbers at both Haytor and Princetown through further promotion, engagement and events but this will be countered by the probable closure of Postbridge over the autumn and winter of 2015/16. If the planned works go ahead at Postbridge we still aim to maintain the current level of visitor numbers. The targets for visitors have been adjusted for accordingly.

E2

The target for 2015/16 is reduced further which reflects the cumulative effect of reduced investment and funding in the PROW (Public Rights of Way) network and implementation of new ways of working. With reduced budgets, the Authority is less able to replace path furniture (stiles, gates, fingerposts etc.) and we have less resource available to undertake path surfacing repairs to worn out routes or ditching works to prevent erosion from water run-off.

E3

We receive visitor data from GTS (UK) Ltd collected through their STEAM model. The majority of UK National Parks use STEAM so we are able to collect both trend data and also compare figures that have been collected using the same methodology. We will look to a marginal rise of approximately 2% in 2015 to 2.25m visitors.

E4

The increase in litter bags collected is disappointing: it indicates more litter being left in the National Park. The resources (financial; staff and volunteer time) could be better used on other projects if we can successfully encourage people not to drop litter.

E7

We are working with the National Trust to agree a common approach to visitor surveys and to implement this approach in 2015. This will provide us with valuable information on motivation and types of visitor. We have registered the National Park Visitor Centres on Trip Advisor and hope to use this to assess customer satisfaction. The target for 2015/16 is to achieve 4 star ratings for each Visitor Centre.

E9

This target has been achieved almost entirely by conservation groups working with our Rangers. Further analysis reveals that attendance of under-represented groups is broken down as 66% of volunteers being 65 years of age or over; and 34% of volunteers being aged 5 and 24. There were no volunteers from people of a minority ethnic background recorded.

E10

The overall number of events and participants taking part in organised recreational has reduced this year. This may be due in part to our closer working with District/Borough Council Safety Advisory Groups (SAG's) who assist us with scrutinising events. We have also had some success with discouraging events that are not appropriate to be held within the National Park, and may be more suitable to be held elsewhere. We have also

encouraged some organisers of larger events to look at reducing the number or frequency of events held within the National Park.

E10 b)

We have exceeded our target of income generated through £ for the Park. We have strengthened the message to event organisers to say that “your event will have an impact on Dartmoor” with the potential for increased wear and tear on paths or erosion of trails, or impact on local communities etc. Awareness of the £ for the Park scheme is also growing and we are going to be doing some further work around increasing opportunities for the public to make voluntary donations towards our work.

E11

Targets exceed this year. The targets for next year are reduced due to our decision to significantly reduce staff led walks.

5 PROSPER

P1 a)

All major planning applications are now covered by a Planning Performance Agreement (PPA) which allows the Authority to deal with the application over a longer period as agreed by the applicant. This ensures a quality outcome. In the official statistical response to government PPAs are reported separately. Where an application is covered by a PPA the normal determination periods do not apply and the Authority is not penalised for taking longer than the government target.

P1 b)

Minor applications did not meet the target in the last quarter as there were a number of applications that required amendment, legal agreements or were delayed because of needing to go to Committee. However, the trend on this category of applications is one of a consistent meeting of the 65% target (5 out of last 6 quarters).

P1 c)

This category of applications (householder and other minor development) is now consistently exceeding the 80% target (9 out of last 9 quarters) primarily due to the secondment of one of the Planning Technicians into the planning team dedicated to dealing solely with this category.

The overall % approval rate for all applications remains high at 85%.

P4

As stated above (E3) this data is also received from GTS (UK) Ltd collected through their STEAM model. In 2015 we would hope, in-line with increased visitor numbers, that this will rise to £134.5m in 2015.

P5

The number of affordable houses approved has missed its target this year. However Members should note that 11 affordable units were resolved to be approved at the February Development Management committee but the Section 106 agreement has not yet been signed because of legal complications – this has prevented the decision notice from being released. These 11 units would have brought the year-end total close to the target. Members should also note that recent government policy changes on affordable housing on small sites will challenge our ability to deliver affordable housing on small sites. In line with most other local planning authorities larger allocated sites continue to fail to meet the National Park policy target of 50% affordable due to financial viability. Each case

is now tested thoroughly by independent assessors employed by the Authority but paid for by the applicant as part of a PPA or other agreement.

P6

The employment floorspace figures from the last 5 years (years 2010-2014) are provided in the following table:

Year	m2	Figure title (note this has changed over time)
2014/15	4984	Net additional employment floor space approved
2014/15	4884	Total (net) amount of additional employment floorspace (over 100m2) approved
2013/14	100	Total (net) amount of additional employment floorspace (over 100m2) approved
2012/13	0	Total (net) amount of additional employment floorspace (over 100m2) approved
2011/12	2572	Total (net) amount of additional employment floorspace (over 100m2) approved
2010/11	924	Net additional employment floor space approved (m2)

As can be seen there isn't really any trend that we can gather. A specific large relocated site has caused the peak in 2014/15.

P7

The target for broadband connectivity remains at 75% by 2017. However it is likely that this will be revised over the coming year when it is anticipated that the supplier and programme for phase two is confirmed.

P8

Setting a performance indicator that focuses on media coverage rather than volume of news releases issued, gives us a far better indicator of how successful our approach to public relations has been. This approach has included news releases; developing relationships with the local media by giving them 'exclusive' items and meeting editors; improving our social media output – enabling us to act quickly on current trends and acting quickly on reactive media.

P9 a)

Twitter is a very good form of instant communication for both news and emergency communications. Having a large amount of followers gives you a wider reach, particularly if they 're-tweet' your message to their followers. Our followers on Twitter include all local media and individual reporters, MPs, Defra officials and other government departments, partner organisations and local businesses. It is also worth noting that daily editorial meetings with the media look at social media/Twitter *before* issued press releases.

P9 b)

The success of our direct communication through Twitter has seen our subscribers to e-communications plateau. This is a result of us tweeting our e-newsletter each time it is sent which gives us a far wider reach. For example our e-communication 'Make it a Dartmoor Christmas'.

- Sent to **1,263** subscribers
- Tweeted to **7495** followers [Dec 14]
- Re-tweeted by 10 followers who have a combined total of **12,614** followers
- Total reach **21,372** people of which **49%** opened the e-newsletter

This gives us a far wider communications reach than just our e-subscribers and is instant. This is how most of our news releases are picked up.

P9 b)

The industry average for e-communications opened is around 20%. This means we are way above average and more importantly people are interested in the content and reading our key messages.

P10

A unique page view is a single user. Page views are the total amount of times users view our pages, for example:

Person clicks on the website = 1 unique visit

They may 'view' 10 pages = 10 page views

6 Staff and Member Training

6.1 Training performance is no longer contained within our performance monitoring framework, however we still collect the data which confirms that the number of training days provided per member of staff was 5.52 (2013/14 target was 5 days) and per Member 1.3 days (2013/14 target was 1.5 days).

7 Compliments & Complaints

7.1 We received 58 written compliments (emails/letters) during 2014/15 across all services from members of the public, volunteers, service users and organisations.

7.2 Examples include the provision of excellent customer service (Planning), delivering effective training (Hill Farm Project), providing professional advice (Access) as well as reuniting a family with their beloved dog (Rangers)!

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

7.4 During 2014/15 we handled 12 complaints under the formal stages of our Complaints Procedure. Two of these complaints were submitted to the Local Government Ombudsman (LGO). In both cases the LGO determined not to investigate the matters any further.

7.5 We always seek to learn from the complaints and compliments that we receive. In 2014/15 a 'learning event' was organised to review lessons to learn from the complaints received and to review the LGO report "Not in my back yard: Local people and the planning process" (published December 2014). A short action plan was agreed as a result of this learning event.

8 Equality and Sustainability Impact

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

9 Financial Implications

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

10 Conclusion

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

10.2 It is proposed that Audit and Governance Committee review how we report performance during 2015/16.

NEIL WHITE

Ref No.	Description	Responsible Officer	Previous Performance		Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Performance 2014/15	Target for 2015/16
			2012/13	2013/14	2014/15						
SUSTAIN											
Conservation of the Natural and Historic Environment											
S1(a) N	% of SSI land in the National Park as a whole in	NB	99.5%	99%							100%
	a) favourable condition				30% (Data supplied by Natural England on 6 year rolling programme)					16%	30%
	b) unfavourable recovering				70% (Data supplied by NE)					82%	70%
	c) unfavourable declining				0% (Data supplied by NE)					2%	0%
S1(b) N	% of SSI land in NPA management in:	NB	100%	100%							100%
	a) favourable condition				Data supplied by Natural England on 6 year rolling programme					20%	
	b) unfavourable recovering				Data supplied by NE					80%	
	c) unfavourable declining				Data supplied by NE					0%	
S2 N	Number of Listed Buildings 'at risk' conserved during the last 3 years	KM	2	1	1					1	1
S3 N	Number of scheduled monuments 'at high or medium risk' conserved during the last 3 years	AC	16	16	10					20	15
S4 N	% Length of water courses with 'high' or 'good' ecological status	NB			31% (Data supplied by Environment Agency)					Data supplied by EA to Natural England - will not be available until mid-June at the earliest	31%
S4 N	% Length of water courses with 'moderate' ecological status	NB			31% (Data supplied by Environment Agency)						31%

Performance Monitoring Framework 2014/15

Ref No.	Description	Responsible Officer	Previous Performance		Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Performance 2014/15	Target for 2015/16
			2012/13	2013/14	2014/15						
S11 N	% change in CO ₂ e from DNPA operations	Finance	3.9%	6.97%	-6%	Bldgs: 26,009 -39.9% Transport: 24,533 -9.1%	Bldgs: 19,422 11.8% Transport:23,271 -14.1%	Bldgs: 34,518 -4.7% Transport: 24,556 7.4%	Bldgs: 40,031 -3.1% Transport: 26,924 17.5%	Buildings: 119,980kg Transport: 99,284kg	-4%
			255,904kg	238,076kg	223,791kg					Year to date: Bldgs: 45,431 Transport:47,804	
S12 L	Number of working days lost due to sickness per Full Time Equivalent (FTE)	NW			5	6.14	7.89	8.64	9.26	9.26	7
	a) including long term absence	NW	5.4	7.51	5	6.14	7.89	8.64	9.26	9.26	7
	b) excluding long term absence	NW		3.86	no target set for this	2.84	4.03	4.69	5.21	5.21	4
S13 L	% of enforcement cases resolved without the need for formal action	NS/AW			90%	82%	89%	100%	81%	88%	90%
S14 L	% of Membership attending Authority meetings	PB	87%	83%	85%	Authority: 85% Development Mgt: 86% Audit & Gov'nce: 57% Overall attendance:84%	Authority: 87% Development Mgt: 87% Audit & Gov'nce: 71% Overall attendance: 86%	Authority: 84% Development Mgt: 91% Audit & Gov'nce: 66% Overall attendance: 86%	Authority: 75% Development Mgt: 86% Audit & Gov'nce: 71% Overall attendance: 80%	Authority: 83% Development Mgt: 88% Audit & Gov'nce: 67% Overall attendance: 84%	85%
S15 L	% of invoices paid on time	CAR	99.5%	99.93%	98%	100%	99.83%	99.84%	100%	99.92%	95%
S16 N	% of planning applicants satisfied with quality of the service received	SBe/Planning	Not collected (bi-annual)	89%	Not collected until 2015/2016						80%
S17 L	% of appeals allowed against DNPA decision to refuse consent (low figure is positive)	SBe/Planning	25%	23.53% (4 of 17)	33%	80%	43%	0%	25%	35%	33%
ENJOY Promote a positive experience of Dartmoor National Park for Residents and Visitors											
E1 L	Number of visitors to Visitor Centres at:	RD	158,349	144,952	160,000	49,026	78,715	21,801	16,275	165,817	167,000
	a) Haytor		37791	43778	48,000	14,290	20,970	5,025	3,725	44,010	47,000
	b) Postbridge		50001	52358	52,000	19,111	28,276	5941	4,196	57,524	49,000
	c) Princetown		70557	48816	60,000	15,625	29,469	10,835	8,354	64,283	71,000

Performance Monitoring Framework 2014/15

Ref No.	Description	Responsible Officer	Previous Performance		Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Performance 2014/15	Target for 2015/16
			2012/13	2013/14	2014/15						
E2 N	% 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	94%	93%	85%	84%	no survey carried out in quarter 2	86.80%	no survey carried out in quarter 4	85.40%	82%
E3 N	Number of visitors to the National Park	RD			£3.25M					£2.183M	£2.25m
E4 L	a) Number of litter bags collected by DNPA staff or volunteers	RS/SB		656	600	275	179.5	105	92	651.5	600
	b) Cost of disposing of litter collected (includes Tavi Taskforce collection costs)	RS/SB				£3,231	£7,272	£4,753	£5,967	£21,223	£19,545
E6 L	Residents' satisfaction survey									Frequency of reporting: 3 years	Due in 2016/17
E7 L	Visitors satisfaction survey - work for 2014/15	RD			N/A					Frequency of reporting: 3 years	4 stars achieved (Trip Advisor) - will be annual
E9 N	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)	OR/RS/SB	712	892	425	149 49%	120 36%	118 28.6%	160 11.8%	547 22.8%	500
E10 L	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				5 (1)	26 (5)	12	10 (2)	53 (8)	60
	a) number of people participating	AW/SB			reduce number of very large events	1275 (3000)	5805 (2050)	2180	1320 (280)	10583 (5330)	
	b) £ for the Park received	AW			£2,500	£435	£563	£1,673	£1,725	£4,396	£7,500
E11 L	Number of events organised by DNPA	CP			34	12	23	4	8	52	6
	a) Number of people attending	CP			350	89	181	42	125	493	100
	b) % satisfied or very satisfied with the events	OR			90%	100%	94%	No feedback forms this quarter	100%	97.40%	90%

Performance Monitoring Framework 2014/15

Ref No.	Description	Responsible Officer	Previous Performance		Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Performance 2014/15	Target for 2015/16
			2012/13	2013/14	2014/15						
New Family PI N	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/OR			N/A					Completed	To complete and submit
PROSPER Work towards ensuring Dartmoor has a thriving economy											
P1 N	% 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	50%	N/A (0)	60%	0% (0 of 1)	50% (1 of 2)	0% (0 of 2) *2	50% (1 fo 2) *1	25% *7	60%
	b) minor applications determined within 8 weeks	SBe/Planning	59%	66%	65%	86.7% (52 of 60)	72.1% (44 of 61)	81% (47 of 58)	57.4% (27 of 47)	75.70%	65%
	c) other applications determined within 8 weeks	SBe/Planning	73%	82%	80%	89.7% (78 of 87)	88.4% (84 of 95)	86.9% (93 of 107)	80.3% (57 of 71)	87%	80%
P2 N	% of all planning applications determined which have been approved	SBe/Planning				88.5% (131 of 148)	80.4% (127 of 158)	88.6% (148 of 167)	89.2% (107 of 120)	86.5% (513 of 593)	n/a
P2 L	a) % of new residential and householder approved	SBe/Planning			n/a	64.10%	71.60%	68.20%	69.10%	59.60%	n/a
P2 L	b) % of non-residential approved	SBe/Planning			n/a	32.80%	29.10%	30.40%	28.90%	26.80%	n/a
P3 N	a) Total number of volunteer days organised or supported by the NPA	OR/RS/SB	2,471	2886.5	2,500	303.5	326	411.5	1532	2573	2600

Performance Monitoring Framework 2014/15

Ref No.	Description	Responsible Officer	Previous Performance		Target	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Performance 2014/15	Target for 2015/16
			2012/13	2013/14	2014/15						
P12 L	a) Number of shows attended	CP			15	2	14	1	0	17	17
	b) Number of contacts made	CP			1920	58	1639	75	0	1772	2000
P13 L	Number of parishes engaged in preparing a community led plan during the year with advice /assistance from DNPA	JR			4	3	6	6	6	6	6

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

15 May 2015

BUSINESS PLAN MONITORING REPORT FOR 2014/15Report of the Chief Executive (National Park Officer)

Recommendations : **That Members note the content of the report and comment on performance against the key actions identified in the 2014/15 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 2014/15.
- 1.2 The 2014/15 Business Plan was structured around three themes: Sustain, Enjoy and Prosper that are shared with the Management Plan (Your Dartmoor). Under these themes are six priorities:
 - Conservation of the natural and historic environment
 - Work to support a sustainable farming economy
 - Be an excellent organisation
 - Promote a positive experience of Dartmoor National Park for residents and visitors
 - Work towards ensuring Dartmoor has a thriving local economy
 - Improve support to and engagement with local communities

For each priority the Business Plan identifies key actions to help achieve the stated outcome. Appendix 1 details progress against each of these key actions.

2 Performance for 2014/15

- 2.1 The progress against key actions reported in Appendix 1 is very positive. The vast majority of key actions have been implemented or work substantially completed. There has been significant progress across all three themes and associated priorities. There is only one key action where no substantial progress has been achieved: plans to commence work on a Minerals and Waste Local Plan have been amended in order to focus limited staff resource on completion of the Ashburton Masterplan and, in particular, the additional work required to assess the vision submitted by Friends of Ashburton Railway Station to re-construct a railway line between Ashburton and Buckfastleigh. Rather than produce a separate Minerals and Waste Local Plan these topics will now be incorporated into a revised, comprehensive Local Plan covering all land uses. Work on this will start in 2015/16.

2.2 Key achievements include:

- Secured stage 2 approval for the Moor than meets the eye Landscape Partnership - this will result in approximately £4million pounds being invested in a range of projects to help conserve and enhance the Partnership area's special qualities and promote their enjoyment and understanding. There will also be a range of direct and indirect economic benefits associated with this investment.
- Significant landscape enhancement through the undergrounding of overhead powerlines on Holne and Walkhampton Common.
- Whitehorse Hill – successful completion of the restoration of the artefacts so that some of them could be displayed in an exhibition hosted by Plymouth Museum
- Strong record of planning delivery; commenced implementation of the Chagford Masterplan; and met the Government targets on speed of process planning applications
- Assisted in the roll-out of superfast broadband and secured additional funding that will result in an additional 300 premises receiving superfast broadband. We have also continued to put the case for additional investment to tackle the 'hard to reach premises'.
- Launched the Dartmoor Communities Fund covering the West Devon Borough Council and South Hams parts of the National Park: £40,000 awarded for schemes with a total value of approximately £200,000.
- Secured Prince's Countryside Fund grant for the Dartmoor Hill Farm Project which will help us 'plug the gap' left by the withdrawal of Rural Development Programme funding
- Ran a series of 'farm table consultation events' to help inform the Local Development Strategy for the Greater Dartmoor Local Enterprise Action Fund which the Authority will help to co-fund.
- Ran a number of projects to raise awareness of the natural environment and cultural heritage on Dartmoor. The Cuckoo Project (now in its second year) has been a good vehicle for public involvement in biodiversity - of the 700 records of Cuckoos recorded across Devon 600 were on Dartmoor.

4 Conclusion

- 4.1 Members will note from this report that the Authority has maintained an excellent level of service in priority areas as measured by progress against Business Plan key actions (see appendix 1). This record of positive achievement within the context of severely limited financial resources is due to a committed workforce who are striving to maintain quality services and effective partnership working.

KEVIN BISHOP

Appendix 1: 2014/15 Business Plan Progress on Key Actions

BUSINESS PLAN PROGRESS: 2014 – 2015

Vision:

We will act as an enabler and advocate for Dartmoor National Park; working with others to deliver a National Park that is thriving, inspirational and valued.

SUSTAIN

Priority: CONSERVATION OF THE NATURAL AND HISTORIC ENVIRONMENT

Supports Management Plan priorities of: **Spectacular landscapes, natural networks, making the most of cultural heritage**

Priority Actions	End of Year Update
<p>Deliver the final year of the Mires Project, including restoration at Flat Tor Pan and ongoing vegetation and hydrological monitoring. Evaluate the existing scheme and consider options for future work from 2015/16.</p>	<p>Restoration of the essential hydro monitoring catchment at Flat Tor Pan is complete with site work August to October 2014 and February and March 2015. The externally funded project has now come to an end. The project was signed off by the Project Board on 30 March followed by official confirmation and “sign off” from the Environment Agency that the project has achieved the approved purposes under the National Environment Programme. An external evaluation of the Project is underway. Continued hydro and biodiversity monitoring has now been agreed with funding from SWW for the next five years. Exploration of funding options for future work dependent upon the results of monitoring has started. Initial monitoring data is showing positive signs.</p>
<p>Living Dartmoor – (Biodiversity Action Plan). Complete the remaining Delivery Plans for Moorland, Woodland and six key species. Continue partnership projects to monitor and/or improve habitats for the southern damselfly, threatened butterflies and bird species.</p>	<p>Living Dartmoor Delivery plans completed, the woodland plan is still under consultation. An additional plan addressing connectivity will be delivered in 2015/16.</p> <p>Partnership projects for the southern damselfly and butterflies are proving successful with populations of these rare and vulnerable species stable. The future of the wading birds project is being reassessed. as impact has been less successful</p>

<p>Complete Walkhampton undergrounding scheme and investigate the potential for other schemes through OFGEM allowance price review period (2015-2023).</p>	<p>Two schemes for Dartmoor have been successfully delivered through the OFGEM 2010 – 2015 allowance. The schemes, on Holne Moor and Walkhampton Common, removed nearly 6km of overhead line from open moorland and at nearly 5km, the Walkhampton scheme was the largest single scheme to be undertaken in the South West region by Western Power Distribution. The removal of the overhead power lines on Walkhampton Common realised a long held ambition and considerable landscape benefits for Dartmoor.</p> <p>Looking to the future, £2.8m has been allocated for the South West region for 2015 – 2023. The Authority is working in partnership with Western Power Distribution, Dartmoor Preservation Association (DPA) and other protected landscapes to develop the new scheme. In particular, we are discussing with the DPA an initiative whereby Through the partnership the Authority is working with WPD, SWPLF and the DPA in the development of the new scheme and we will also be working with DPA to establish a scheme by which DPA volunteers undertake to identify and assess candidate lines for submission to WPD.</p>
<p>Run an interactive public Cuckoo distribution mapping project on the DNPA website alongside a further cuckoo tagging study.</p>	<p>This project has been successfully delivered. Over 700 records of cuckoos were received across Devon with 600 records on Dartmoor. Two cuckoos were tagged in 2014 following the four tagged in 2013 but sadly only two of the six remain. Unfortunately this accurately reflects the national picture of decline with 70% of the population disappearing from the English countryside in the last 20 years. The project is beginning to provide useful information to inform future management decisions and two current PhDs are also utilising and building on some of the information.</p>
<p>Higher Uppacott – implement works to improve the fabric and representation of the building.</p>	<p>Re-thatching of the north elevation is complete. Planning permission and Listed Building Consent is in place for a full programme of work to start in May 2015, commencing with replacement windows and re-thatching. All work is in line with an agreed Conservation Plan.</p>

<p>Whitehorse Hill – work in partnership with Plymouth Museum to produce an exhibition entitled <i>Whitehorse Hill – A prehistoric Dartmoor Discovery</i>.</p>	<p>Exhibition completed on time and well received. The exhibition attracted over 3,000 people and the DNPA guide to Whitehorse Hill has now sold over 1500 copies.</p>
<p>Reduce the number of Heritage Assets at risk, including scheduled monuments and listed buildings, through targeted conservation management works.</p>	<p>20 scheduled ancient monuments at high or medium risk and 1 listed building have been conserved. This far exceeds the target of 11.</p>
<p>Develop a project to improve understanding, enable better management and promote the Bronze Age landscape on Dartmoor through a programme of survey, research, excavation, interpretation and conservation management works.</p>	<p>This is a Moor than meets the eye scheme. The focus for 2014/15 has been on gaining a better understanding of the recently discovered Sittaford Stone circle. A geo-physical survey has just been completed and results are awaited. Interest in the Bronze Age is high on the agenda for primary schools and a resource for teachers who can't visit Dartmoor has been placed on the National Parks UK portal.</p>
<p>Commence preparation of a Minerals Local Plan by scoping and preparing a consultation draft.</p>	<p>Due to capacity constraints, in particular lack of staff time and the need to prioritise work on the Ashburton Masterplan, it was decided not to pursue a separate Minerals Local Plan but to include minerals and waste policies in a new overarching Local Plan. Work is due to start on the scoping of the Local Plan and preparation of topic papers during 2015/16.</p>

Priority: WORK TO SUPPORT A SUSTAINABLE FARMING ECONOMY

Supports Management Plan priorities of: **The future of farming and forestry**

Priority Actions	End of Year Update
<p>Maintain communication with the farming community and support the transition to new CAP funding due to start in 2015, through the Dartmoor Hill Farm Project.</p>	<p>Communication with the farming community has continued via regular newsletters and use of Facebook. 12 farmhouse table consultation meetings were held to identify farmers' priorities for the future and help develop a useful focus for the Hill Farm Project going forward. Disappointingly, RDPE funding has not been forthcoming but the Project has secured funding for two years from the Princes Countryside Fund. Over 463 farmers attended training events facilitated through the HFP during the year. Results from the 'farmhouse table' discussion sessions were used to contribute to the Greater Dartmoor Local Economic Action Fund Local Development Strategy. The adopted strategy now includes a specific priority around farming with a clear focus on upland issues. This should provide a supportive framework for Dartmoor farmers to bid for small grants over the next five years.</p>
<p>Farming Futures – apply the lessons being learnt from the pilot schemes to the new environmental land management schemes being developed as part of the CAP reform programme.</p>	<p>The two pilot schemes established on the Forest of Dartmoor and Haytor and Bagtor Commons are now in their second year. Natural England have provided training on SSSI condition to commoners on the Forest of Dartmoor that will enable them to do 'baseline condition assessments'. Evidence from the Farming Futures project was submitted to Defra as part of their work on the new environmental land management schemes.</p>
<p>Develop a grant scheme to help integrate heritage features with the needs of modern hill farming by adapting and restoring stone wells.</p>	<p>This is a Moor than meets the eye scheme. The first call for grants has been advertised and applications are being received.</p>
<p>Implement repairs to a number of pounds and drift ways to ensure their conservation and continued use.</p>	<p>Project started, works will be delivered in 2015.</p>
<p>Develop a sustainable programme of farmer-led walks which allow the public to visit farms that are usually private.</p>	<p>Three farm walks delivered by farmers with support from the Hill Farm Project.</p>

Priority: BE AN EXCELLENT ORGANISATION

Priority Actions	End of Year Update
<p>Undertake work to maximise income, specifically:</p> <ul style="list-style-type: none"> • Develop a retail strategy which utilises the branding of the National Park; • Consider options for implementation of car park charges on land owned by the Authority following the implementation of charges at Princetown in August 2013; • Consider potential for charging for pre application planning advice. 	<p>Draft Retail Strategy prepared for adoption in 2015/16. In parallel, staff have developed a Dartmoor Range of products that is available for sale through the Authority's Visitor Centres. These products range from mugs to twine and help support local businesses as well as generating income for the Authority.</p> <p>Work has commenced on options for car park charges on land owned by the Authority and formal proposals will be brought forward in 2015/16. The Authority consulted on proposed pre-application charges for certain types of planning applications during 2014/15 and the agreed schedule of charges took effect from 1 April 2015.</p>
<p>Offer development opportunities through volunteering and apprenticeships.</p>	<p>The Authority has continued to offer volunteering opportunities predominantly through the Conservation and Communities Directorate. These range from archaeological and ecological conservation tasks to education work on the outreach vehicle and work on public rights of way. The Voluntary Wardens continue to deliver over 900 volunteer days and our target for the year has been exceeded. 22% of our volunteers are from under-represented groups – the young and people with disabilities.</p> <p>The Authority has two apprentices, one new role and a second apprentice who has moved on to a level 3 Diploma</p>
<p>Continue with works to reduce carbon emissions and improve energy efficiency</p>	<p>We achieved a 7.9% reduction in carbon emissions during 2014.</p>
<p>Review our HR strategy with a particular focus on workforce planning.</p>	<p>HR Strategy (2011-2014) reviewed by Leadership Team in November 2014. This confirmed priority actions (and most other actions) had been delivered. Changes to ways of working and our structure have signalled a change in focus going forward. Completion of a broader Organisational Development Strategy is a key action for 2015/16.</p>

<p>Further roll-out (phase 2) of competency framework to support staff development and performance management.</p>	<p>We decided not to roll out the competency framework further (introduced in 2013/14 on a phased basis) until it has been properly evaluated to ensure it is delivering positive outcomes. A formal review of the staff appraisal scheme is being undertaken and will report in July 2015.</p>
<p>Facilitate Delivery Board and steering groups to maintain momentum on delivering the actions in the Dartmoor National Park Management Plan, and monitor outcomes.</p>	<p>A steering group meeting was organised for November 2014 and attended by over 50 people representing a wide spectrum of Dartmoor interests. This workshop helped us to up-date the Management Plan Actions Plans which were discussed and 'approved' by the Delivery Board in February 2015.</p>
<p>Appoint project staff and act as lead body for the <i>Moor that meets the eye Landscape Partnership scheme</i> (subject to approval of Stage 2 application).</p>	<p>The full Moor than meets the eye team are in place.</p>
<p>Develop a focused retail strategy which places the National Park Visitor Centres on a clear business footing through maximising income.</p>	<p>Draft retail strategy developed and implemented through visitor centres. Dartmoor range developed with local suppliers, supporting the local economy. Net sales of £58,000 for 2014/15 year.</p>
<p>Promote the work of the Authority and seek opportunities for sponsorship.</p>	<p>Sponsorship policy adopted by Authority. Princetown phase 1 sponsored by John Lewis via large screen TV. We have continued to benefit from the sponsorship arrangement with Sprayway who provided free waterproof clothing for the Voluntary Wardens and the new Junior Ranger programme. Other opportunities actively pursued and developed. Conference sponsorship being obtained through local and national links.</p>
<p>Undertake a staffing and structure review with the aim of reducing staffing costs (consequent upon a reduction in Government funding).</p>	<p>Review of senior management structure undertaken and consulted on in 2014/15. New structure took effect from 1 April 2015. The savings achieved helped us set a balanced budget for 2015/16 but also signal a further reduction in our capacity to 'Deliver for Dartmoor'.</p>

ENJOY

Priority: PROMOTE A POSITIVE EXPERIENCE OF DARTMOOR NATIONAL PARK FOR RESIDENTS AND VISITORS

Supports Management Plan priorities of: **Enjoying Dartmoor**

Priority Actions	End of Year Update
Improved interpretation, information and activities within the Visitor Centres , with a particular focus on Princetown in 2014/15; the aim being to increase visitor numbers and opportunities, particularly for younger people and families.	Improved interpretation installed at Princetown and a number of events held at Princetown. Visitor figures increased at all three centres (over 30% at NPVC Princetown) compared to 2013/14.
Develop a costed interpretation plan and delivery programme for the Dartmoor Story these and aim to increase breadth and depth of audience reach.	Dartmoor Story brand guidelines developed, with implementation being rolled out on our own material. Plan being developed for stakeholder buy-in through MTMTE project in 2015.
Establish a Community Safety Accreditation Scheme with Devon and Cornwall Police to create closer working links and improve joint response at times of emergency.	This arrangement is now in place and a positive working relationship has been established.
Work in partnership with Devon County Council and other key stakeholders to implement the programme of cycling works for Dartmoor approved through the Department for Transport Linking Communities funds, specifically development of family friendly routes, supported by cycling “hubs”.	This is progressing well with key projects being implemented including a new cycle bridge at Peek Hill and other improvements on the Princetown Railway cycle route. Improved cycling facilities, including signage, cycle racks and storage at Princetown and Moretonhampstead.

<p>Deliver the Service Level Agreement with Devon County Council for Public Rights of Way (PROW) maintenance and improvement, working closely with community groups and volunteers.</p>	<p>This has been delivered. The Authority has reviewed its role in the delivery of public rights of way and identified changes to ensure it can continue to deliver this service in the future. Changes will be implemented incrementally during 2015 working closely with landowners and farmers and local communities.</p> <p>A number of small schemes, a new bridge at Swincombe and significant improvements to the bridleway south of Princetown are about to be implemented utilising Defra flood money. A new bridge over the Becka Brook has also been implemented with funding from the Ramblers Group. A mixture of hard work and an influx of external funding including the Defra flood money has enabled us to deliver the target of 85% of public rights of way easy to use (this is 5% lower than the 2013/14 target). Funding for the SLA has been maintained at 2014/15 levels for 2015/16.</p>
<p>Maintain the emphasis on the public campaigns to reduce litter (<i>Love where you visit</i>) and control of dogs (PAWS). An evaluation of the PAWS campaign will be completed during the year.</p>	<p>Work has continued on both of these campaigns with radio and television footage and staff presence on the outreach vehicle at problem and heavily used sites. A schools competition to design a new poster for the Paws campaign was successful. The hot summer has meant that the number of bags of litter collected by rangers and volunteers has gone up since last year and the cost to the Authority is significant. The campaign will be continued in 2015/16 and our Chief Executive (National Park Officer) has been given an honorary litter picker!!</p>
<p>Focus direct education provision on local schools.</p>	<p>This year has seen a specific focus on implementing the John Muir award with South Tawton school as a pilot to roll out across the NP in future years. We have provided resources and three events to “train the trainer” so that teachers can deliver good field visits themselves. The changes to the National Curriculum have seen a change in the pattern of visits by Primary schools as well as a shift in topics studied. There has been an increase in the number of visits in the autumn and winter terms with the focus shifting to ‘prehistory’. Overall, including school visits led by our voluntary education guides, we have delivered 61 school visits involving 2313 children</p>

<p>Continue with a programme of events and activities for Ranger Ralph club members, working in partnership with other bodies where appropriate; and aim to increase membership of the club.</p>	<p>The Ranger Ralph club continues to be popular with both children and parents. Another successful year with 11 events planned and delivered attracting 329 children and 150 adults. Membership now stands at 160 members.</p> <p>The Club continues to offer innovative family learning opportunities – this year has seen a large scale fund-raising event for the Thin Green Line, supporting World Ranger Day, a worm charming event and some complex physics and maths through a fun event at Mary Tavy hydro – power station in partnership with South West Water.</p>
<p>Promote a programme of public events to celebrate the Festival of Archaeology (Believer Day), Heritage Open Days, National Parks week and opportunities for conservation themed walks and work days.</p>	<p>A programme of 52 events has been delivered attracting 493 participants. Unfortunately, Believer day, which normally attracts significant numbers, was cancelled due to weather. Visits to Higher Uppacott remain popular and additional events have been offered to satisfy demand.</p>

PROSPER

Priority: WORK TOWARDS ENSURING DARTMOOR HAS A THRIVING LOCAL ECONOMY

Supports Management Plan priorities of: **Prosperous Dartmoor**

Priority Actions	End of Year Update
<p>Superfast Broadband – support implementation of the Connecting Devon and Somerset programme on Dartmoor and (subject to funding) implement the Dartmoor Rural Community Broadband Scheme.</p>	<p>We have continued to work closely with Connecting Devon and Somerset (CDS) to secure resources for and the practical delivery of superfast broadband across Dartmoor.</p> <p>We finally secured additional money for Dartmoor via the former Rural Community Broadband Fund. This has taken almost three years to secure and close working with Exmoor National Park Authority and Devon County Council. The additional money is being used to extend the rollout of the existing CDS programme on Dartmoor. A total of £700,000 was secured for Dartmoor and Exmoor. This will enable approximately 300 additional premises to be connected.</p> <p>Superfast broadband (via fibre) is now available to 24% of Dartmoor households.</p> <p>A significant challenge lies in meeting the needs of premises in the final 10%, the hard to reach areas. For Dartmoor, defined by its remote and rugged landscape, it is currently expected that 25% of its homes and businesses will remain 'hard to reach' and will not receive a superfast service through the current roll out to 2016.</p> <p>We are also now supporting Devon County Council (DCC) to deliver a tailored Dartmoor and Exmoor solution as part of the wider CDS Superfast Extension Programme (SEP) which aims to achieve 95% superfast coverage nationally by end of 2017. An open procurement process is now underway, re-testing the market for alternative but proven technology solutions suited to remote sparsely populated areas. Contract is expected to be awarded by July 2015 and £4.6m (plus supplier contribution) is now committed to additional infrastructure to be delivered across Dartmoor and Exmoor.</p>

<p>Work to promote Dartmoor as a destination for sustainable tourism with the aim of extending stays and increasing spend in the local community.</p>	<p>Visit Dartmoor is now the official tourism partnership for Dartmoor and work undergoing to develop an agreed year round tourism strategy. The Haytor Hoppa ran again in 2014 supported by DCC, NE, NT and DWT on a timetable from Easter to October.</p>
<p>Following adoption of Affordable Housing SPD facilitation and implementation of new housing schemes, working with the rural housing enabler where appropriate.</p>	<p>First phase of Chagford Masterplan site approved Second phase of Chagford scheme expected June 2015 Christow scheme approved Briar Tor phase two approved South Brent phase one approved North Brentor scheme progressed – application expected in 2015 South Tawton scheme progressed – application expected 2015 Longstone Cross Ashburton delayed because of receivership issues Buckfastleigh BCK2 site at design brief stage</p>
<p>Provide a high quality and responsive Planning service which promotes development which is good for Dartmoor, in particular, providing timely advice, avoiding appeals and approving quality developments.</p>	<p>Processed nearly 700 planning and related applications Apart from last quarter, targets met on speed of delivery Planning performance agreements introduced for major applications Government targets met on appeal decisions Over 1000 written pre app responses sent Commenced review of development management administration team Consulted on a new pre-application charging scheme for certain types of planning application. Enforcement Protocol in place Enforcement monitoring of occupancy conditions successful Reduction in enforcement backlog of all cases and longstanding cases</p>

<p>Master Planning/Design briefs – adopt plans which help fulfil community aspirations and facilitate housing development.</p>	<p>Chagford Masterplan adopted Ashburton Masterplan progressed to stage 2. Delay agreed to allow Friends of Ashburton Railway Station to submit a detailed plan of their proposals (first announced in late 2014) to re-establish a railway link from Buckfastleigh to Ashburton. Officers will then assess this vision before preparing final draft masterplan for adoption by the Authority (Summer 2015).</p>
<p>Appoint and Outreach and Marketing Apprentice (subject to external funding).</p>	<p>Having secured external funding (100%) we appointed an apprentice in June 2014. Unfortunately the post holder resigned in July 2014 and following discussion with the funding body we decided to withdraw this apprenticeship and explore other options.</p>

Priority: IMPROVE SUPPORT TO AND ENGAGEMENT WITH LOCAL COMMUNITIES

Supports Management Plan priorities of: **Community focus**

<p>Priority Actions</p>	<p>End of Year Update</p>
<p>Improved communications and profile for the Authority with a particular focus on local media, e-communications and social media.</p>	<p>Communications Strategy developed for the organisation to encourage better two-way communication. Plan developed for the next two years to support delivery, including the use of tools such as media, social media etc. Social media tools developed and number of followers greatly improved, reaching new audiences. More events booked and attended as a direct result of social media promotion.</p> <p>Media coverage greatly improved with a total of 332 articles in the local and regional press [150 target] and more TV and radio coverage.</p>
<p>Enhancements to the website to improve ease of use and relevance for local communities.</p>	<p>Minor amendments made including introducing twitter feed and updating visitor pages. New website to be developed for 2015/16 to see reduction in content, focus on user needs and clear editorial policy.</p>

<p>Continue to improve the range of volunteering opportunities offered by the Authority and support local conservation volunteer groups.</p>	<p>The Authority has continued to offer volunteering opportunities predominantly through the Conservation and Communities Directorate. These range from archaeological and ecological conservation tasks to education work on the outreach vehicle and work on public rights of way. The Voluntary wardens continue to deliver over 900 volunteer days and our target for the year has been exceeded. 22% of our volunteers are from under-represented groups – the young and people with disabilities.</p> <p>Support and networking to local conservation groups has continued with six groups receiving grant and delivering 4,523 days for the National Park.</p>
<p>Strengthen community engagement with the historic environment and conservation through the annual local history group meeting, the cuckoo project (see action in Sustain), Rangers and attendance at local shows and events.</p>	<p>The annual Local History day attracted nearly 100 people. The outreach vehicle was out and about on and off Dartmoor for 90 days and staff had direct contact with 5772 people. Staff are able to answer questions about how to use the National Park in a sustainable manner with a focus on the PAWs and litter campaign. Positive information about where to go and what to see is also important. .</p>
<p>Parishscapes – work with local communities to record, share and conserve sites of local heritage interest.</p>	<p>Three projects are being developed for grant aid in the first year.</p>
<p>Progress Buckfastleigh neighbourhood plan proposals and facilitate other neighbourhood plan designations as communities come forward.</p>	<p>Four Neighbourhood Plan areas now designated on Dartmoor covering the parishes of:</p> <p>Ashburton Buckfastleigh Buckland Monachorum Bridestowe and Sourton</p> <p>Work continues to support the community groups in bringing them forward and Buckfastleigh and Buckland Monachorum are expected to be published in 2015/16.</p>

Support local communities and individuals to help implement the priorities in the National Park Management Plan.

The 2014/15 **Dartmoor Communities Fund** was established with New Homes Bonus funding secured from West Devon Borough and South Hams District Councils.

Funding of nearly **£40,000** has been allocated to support a wide range of capital projects that ensure the long term viability of valued existing community facilities and services, or create new community infrastructure to meet identified community needs. In total projects of a value in excess of **£200,000** are being supported.

Following agreement with Teignbridge District Council, the Communities Fund will be extended to most of the Teignbridge area of the National Park in 2015/16.

Dartmoor Forest Parish Council was supported in its successful bid to the **Vodafone Rural Open Sure Signal Programme** to secure better mobile provision.

Postbridge Village Hall was supported in the development of feasibility and business plan as part of a programme of works to secure funding for redevelopment.

Advice and support given to the innovative **Ashburton Post Office Library** project, where 2 valued community facilities are brought together under one roof.

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

15 May 2015

RISK MANAGEMENT AND THE DRAFT 2015/16 STRATEGIC RISK REGISTERReport of the Head of Organisational Development

Recommendation: That Members approve the Draft Strategic Risk Register for 2015/16 attached at Appendix 1, subject to any amendments Members may suggest.

1 Background

- 1.1 This Committee approved the current Risk Management Policy at its meeting on 17 May 2014 after commissioning the Devon Audit Partnership to undertake a thorough review of Risk Management across the organisation (NPA/AG/13/013). A good standard was achieved and no significant matters were identified
- 1.2 The risk management strategy for the Authority entails four major components.
- Risk Management Policy
 - Roles and Responsibilities of officers and Members
 - Strategic Risk Register
 - Embedded risk management within services
- 1.3 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 draft 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 have reviewed and up-dated the attached draft Strategic Risk Register. Members might like to note that a separate register is being prepared for the UK National Parks Conference 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. Leadership Team monitor the Strategic Risk Register on a quarterly basis.

NEIL WHITE

Background Papers: NPA/AG/014/036; NPA/AG/13/023; NPA/AG/13/013

DRAFT 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, Business plan and Directorate plans with individual appraisals. Annual all staff training day. Regular all staff meetings and service 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

DRAFT 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 and outcomes have been used to improve communication with local communities Increased presence at Parish meetings and local special interest groups.</p>					
Resources required: Staff time will be needed to communicate and engage with local residents and prepare materials					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<p>A greater understanding of what DNPA does in relation to Dartmoor the place, so people value and support the work we do A good reputation as an organisation that listens and understands Excellent relationships with our communities and stakeholders Promoting understanding and enjoyment of Dartmoor's special qualities Ensure staff are able to contribute and feel valued</p>					

Red = Cause for Concern – scores 20-25

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Green = Ok – scores 0-9

DRAFT 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					
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

DRAFT 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 Directorate/Service planning VfM Reviews (focus on Public Rights of Way Service Level Agreement in 2014/15) 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</p>	2	3	6
Additional control measures planned					
<p>Review how Audit & Governance Committee operates. Revised focus on monitoring implementation of key actions in the Business Plan. Review how we report performances to Leadership Team and Audit & Governance. Renewed focus on project management.</p>					
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					

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DRAFT 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				
	Consequence if no action Management Plan actions not undertaken Ambitions not delivered	Extensive engagement with partners and stakeholders in development of the revised NPMP Pre-consultation to ensure partners are agreeable with actions and nominated lead organisation Revised Delivery Board	3	4	12
Additional control measures planned					
Actions plans will be reviewed and revised annually to take into consideration changes circumstances/resources Progress is monitored via a system of steering groups for each theme (with a wide membership) and an overarching Delivery Board comprising key stakeholders engaged in project delivery.					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
Clear agreed vision for the National Park Actions to achieve the Vision shared and owned by delivery partners Clear process for monitoring delivery and assessing progress towards the Vision					

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Green = Ok – scores 0-9

DRAFT 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>Planners need to be realistic about time scale on framework, particularly if legal work is required.</p>	2	4	8
Additional control measures planned					
Monitoring of the effectiveness of this control mechanism					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	1	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					

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Green = Ok – scores 0-9

DRAFT 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.				
	Consequence if no action Disruption to service delivery. Waste of financial resources as number and cost of losses escalate. Increasing cost or unavailability of insurance cover. Critical reports by external audit. Increase likelihood of major loss/incident. Loss of reputation.	Risk Management Strategy Risks monitored by A&G Committee. Corporate Risk Management Steering Group (Leadership Team). Operational Risk Management via Directorate Plans Risk based audit (internal and external). Annual Governance Statement, following review of all governance arrangements.	2	3	6
Additional control measures planned					
Service Level Agreement with Teignbridge DC continued into 2014/15 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 via Partnership and e-Academy.					
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.					

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Green = Ok – scores 0-9

DRAFT 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 IDOX project to scan central filing system will improve access and reduce 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					

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Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DRAFT 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>	5	4	20
Additional control measures planned					
<p>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.</p> <p>Quarterly review and discussion at Leadership Team (led by Head of Organisational Development) 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>					
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
			5	3	15

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DRAFT DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2015/16

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

DRAFT 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 eg., Occupational Health, Counselling etc 	5	4	20
Additional control measures planned					
This will remain an area of risk as the Authority adapts to a significantly reduced budget and potential further reductions. 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	3	12
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

DRAFT 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. Development of fundraising strategy.					
Resources required: Officer time and external HR Support					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			5	3	15
Outcome					
Focused organisation with resources targeted to agreed priorities Reduced reliance on NPG					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DRAFT 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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DRAFT 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					
<p>Review PR Strategy for these cases, particularly with parish councils Procure expert input when necessary Clear project management arrangements for high profile cases Clear operational procedures to support Enforcement Policy</p>					
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					
<p>All decisions are lawful, in accordance with advice and can be supported on appeal Public confidence in decisions Minimise payment of costs</p>					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DRAFT 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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DRAFT 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

DRAFT 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					

Red = Cause for Concern – scores 20-25

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Green = Ok – scores 0-9

DRAFT 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					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DRAFT 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. Poor PR around high profile projects such as <i>Moor than meets the eye</i> and Dartmoor Mires</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, workplans and the Business Plan. Performance monitoring - Business Plan.	3	4	12
Additional control measures planned					
Ongoing monitoring of compliance with procedures and staff training.					
Resources required: Staff time, particularly from Legal and Financial services and "Project Makers" (project management champions)					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
Robust, well managed partnerships and projects that help to deliver Business Plan and National Park Management Plan objectives					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DRAFT 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</p>	2	3	6
Additional control measures planned					
Ongoing training for staff and Members Written advice about recording key decisions; template form to be completed					
Resources required: Staff & member time and training resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
Low level of complaints, appeals & legal challenge					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DRAFT 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) Technical Support Subscription (Finance) On-line legislation support (Legal) Various on-line alerts Up-dates and policy work via National Parks England</p>	2	3	6
Additional control measures planned					
Various legislation relating to planning to be monitored closely by Head of Planning					
Resources required: Staff time with a plethora of legislation and consultations being issued					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
Legally compliant with no challenges through Judicial Review					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

	10am	12 noon	Standing Items
Jan	Development Management	Authority	Draft Business Plan Draft Budget & MTFP Fees & Charges
Feb	Development Management	Audit & Governance	Internal Audit Report Internal Audit Plan Financial Management Performance Reports
Mar	Development Management	Authority	Net Revenue Budget Capital Plan Treasury Management
April	Development Management	Authority	
May	Development Management	Audit & Governance	Audit Plan & Audit Fee Financial outturn (provisional) Annual Governance Statement Local Code of Corporate Governance (if required) Risk Register Performance Reports
June	Development Management	Authority	Financial Outturn Annual Governance Statement Local Code of Corporate Governance (if required)
July	Development Management	Annual meeting	Elections Appointments to outside bodies Calendar of meetings
Aug	Development Management	NO MEETING	
Sept	Development Management	Authority	Audit Findings Report Statement of Accounts Annual Monitoring Report (Local Plan)
Oct	Development Management	Authority	Priorities
Nov	Development Management	Audit & Governance	Annual Audit Letter Financial Management Risk Register Review of Fees & Charges HR Service Annual Report Performance Reports
Dec	Development Management	Authority	Risk Register