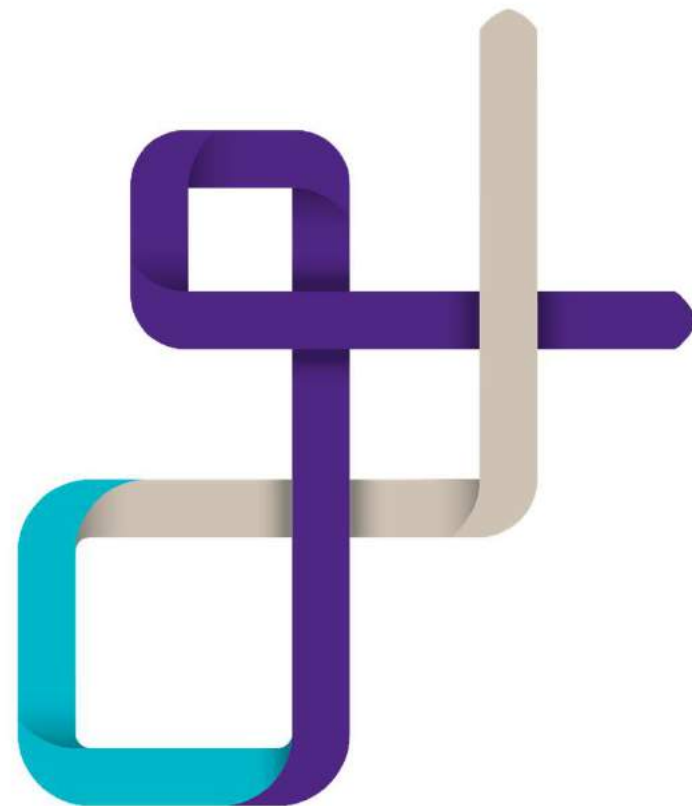**Grant Thornton**

External Audit Plan
Year ending 31 March 2019

Dartmoor National Park Authority

29 March 2019

Contents

Your key Grant Thornton team members are:

Julie Masci

Associate Director

T: +44 (0)29 2034 7506

E: Julie.Masci@uk.gt.com

Anopa Gumbie

Assistant Manager

T: +44 (0)117 305 7832

E: Anopa.C.Gumbie@uk.gt.com

Agnieszka Balejko

In-charge Accountant

T: +44 (0)117 305 7666

E: Agnieszka.A.Balejko@uk.gt.com

Introduction & headlines

Purpose

This document provides an overview of the planned scope and timing of the statutory audit of Dartmoor National Park Authority ('the Authority') for those charged with governance.

Respective responsibilities

The National Audit Office ('the NAO') has issued a document entitled Code of Audit Practice ('the Code'). This summarises where the responsibilities of auditors begin and end and what is expected from the audited body. Our respective responsibilities are also set out in the Terms of Appointment and Statement of Responsibilities issued by Public Sector Audit Appointments (PSAA), the body responsible for appointing us as auditor of Dartmoor National Park Authority. We draw your attention to both of these documents on the PSAA website.

Scope of our audit

The scope of our audit is set in accordance with the Code and International Standards on Auditing (ISAs) (UK). We are responsible for forming and expressing an opinion on the :

- Authority's financial statements that have been prepared by management with the oversight of those charged with governance (the Authority); and

- Value for Money arrangements in place at the Authority for securing economy, efficiency and effectiveness in your use of resources.

The audit of the financial statements does not relieve management or the Authority of your responsibilities. 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 audit approach is based on a thorough understanding of the Authority's business and is risk based. We will be using our new audit methodology and tool, LEAP, for the 2018/19 audit. It will enable us to be more responsive to changes that may occur in your organisation.

Significant risks	Those risks requiring special audit consideration and procedures to address the likelihood of a material financial statement error have been identified as: • Valuation of the pension fund liability; • Valuation of property, plant and equipment; and • Management override of controls We will communicate significant findings on these areas as well as any other significant matters arising from the audit to you in our Audit Findings (ISA 260) Report.
Materiality	We have determined planning materiality to be £115,560 (PY £100,000) for the Authority, which equates to 2% of your prior year gross expenditure for the year. We are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance. Clearly trivial has been set at £5,778 (PY £5,000).
Value for Money arrangements	Our risk assessment regarding your arrangements to secure value for money has not identified any VfM significant risks.
Audit logistics	Our interim visit will take place in February and our final visit will take place in June. Our key deliverables are this Audit Plan and our Audit Findings Report. Our audit approach is detailed in Appendix A. Our fee for the audit will be £9,091 (PY: £11,807) for the Authority.
Independence	We have complied with the Financial Reporting Council's Ethical Standard and we as a firm, and each covered person, confirm that we are independent and are able to express an objective opinion on the financial statements..

Key matters impacting our audit

Factors

The wider economy and political uncertainty Local Government funding continues to be stretched with increasing cost pressures and demand from residents. Government grants to the Authority have increased by 1.72% pa since 2015/16 and are expected to continue to do so until 2019/20. The Government has not, to date, communicated the expected funding arrangements after 2019/20 which introduces some level of uncertainty to the Authority in its Medium Term financial planning. At a national level, the government continues its negotiation with the EU over Brexit, and future arrangements remain clouded in uncertainty (update as appropriate). The Authority will need to ensure that it is prepared for all outcomes, including in terms of any impact on contracts, on service delivery and on its support for local stakeholders.	**Changes to the CIPFA 2018/19 Accounting Code** The most significant changes relate to the adoption of: • IFRS 9 Financial Instruments which impacts on the classification and measurement of financial assets and introduces a new impairment model. • IFRS 15 Revenue from Contracts with Customers which introduces a five step approach to revenue recognition.

Our response

• We will consider your arrangements for managing and reporting your financial resources as part of our work in reaching our Value for Money conclusion. • We will consider whether your financial position leads to material uncertainty about the going concern of the Authority and will review related disclosures in the financial statements.	Although in the prior year the Authority did not participate in the types of transactions that would be affected by the changes in the Code, both its revenue streams and financial instruments will be reviewed to ensure the accounting treatment is in line with the new standards. • We will keep you informed of changes to the financial reporting requirements for 2018/19 through on-going discussions and invitations to our technical update workshops. • As part of our opinion on your financial statements, we will consider whether your financial statements reflect the financial reporting changes in the 2018/19 CIPFA Code.

Significant risks identified

Significant risks are defined by ISAs (UK) as risks that, in the judgement of the auditor, require special audit consideration. In identifying risks, audit teams consider the nature of the risk, the potential magnitude of misstatement, and its likelihood. Significant risks are those risks that have a higher risk of material misstatement.

Risk	Reason for risk identification	Key aspects of our proposed response to the risk
The revenue cycle includes fraudulent transactions	Under ISA (UK) 240 there is a rebuttable presumed risk that revenue may be misstated due to the improper recognition of revenue. This presumption can be rebutted if the auditor concludes that there is no risk of material misstatement due to fraud relating to revenue recognition.	Having considered the risk factors set out in ISA 240 and the nature of the revenue streams at the Authority, we have determined that the risk of fraud arising from revenue recognition can be rebutted, because: • there is little incentive to manipulate revenue recognition; • opportunities to manipulate revenue recognition are very limited due to the predictability of a majority of the revenue; and • The culture and ethical frameworks of local authorities, including Dartmoor National Park Authority, mean that all forms of fraud are seen as unacceptable Therefore we do not consider this to be a significant risk for Dartmoor National Park Authority.
Management over-ride of controls	Under ISA (UK) 240 there is a non-rebuttable presumed risk that the risk of management over-ride of controls is present in all entities. . Management over-ride of controls is a risk requiring special audit consideration.	We will: • gain an understanding of the accounting estimates, judgements applied and decisions made by management and consider their reasonableness • obtain a full listing of journal entries, identify and test unusual journal entries for appropriateness • evaluate the rationale for any changes in accounting policies or significant unusual transactions.

Significant risks identified

Risk	Reason for risk identification	Key aspects of our proposed response to the risk
Valuation of property, plant and equipment	The Authority re-values its land and buildings on an annual basis to ensure that carrying value is not materially different from fair value. This represents a significant estimate by management in the financial statements. We identified the valuation of land and buildings revaluations and impairments as a risk requiring special audit consideration due to the elevated estimate uncertainty and the high degree of management judgement.	We will: • Review management's processes and assumptions in implementing the estimate. • Review of the competence, expertise and objectivity of external valuation experts. • Review of the instructions issued to external valuation experts and the scope of their work. • Communicate with valuation expert about the basis on which the valuation is carried out and challenge of the key assumptions. • Review and challenge the information used by the valuation expert to ensure it is robust and consistent with our understanding. • Test revaluations made during the year to ensure they are input correctly into the Authority's asset register • Evaluate the assumptions made by management for any assets not revalued during the year and how management has satisfied themselves that these are not materially different to current value.
Valuation of Pension liability	The Authority's pension fund asset and liability as reflected in its balance sheet represent a significant estimate in the financial statements. We identified the valuation of the pension fund net liability as a risk requiring special audit consideration due to the elevated estimate uncertainty and the high degree of management judgement.	We will: • Identify the controls put in place by management to ensure that the pension fund liability is not materially misstated. We will also assess whether these controls were implemented as expected and whether they are sufficient to mitigate the risk of material misstatement • Evaluate the competence, expertise and objectivity of the actuary who carried out your pension fund valuation. We will gain an understanding of the basis on which the valuation is carried out • Undertake procedures to confirm the reasonableness of the actuarial assumptions made. • Confirm the validity of the source data provided to your actuary by matching this data to the Authority's payroll and/or accounting records • Check the consistency of the pension fund asset and liability and disclosures in notes to the financial statements with the actuarial report from your actuary

We will communicate significant findings on these areas as well as any other significant matters arising from the audit to you in our Audit Findings Report in July 2019.

Other matters

Other work

In addition to our responsibilities under the Code of Practice, we have a number of other audit responsibilities, as follows:

- We read your Narrative Report and Annual Governance Statement to check that they are consistent with the financial statements on which we give an opinion and consistent with our knowledge of the Authority.

- We carry out work to satisfy ourselves that disclosures made in your Annual Governance Statement are in line with the guidance issued by CIPFA.

- We carry out work on your consolidation schedules for the Whole of Government Accounts process in accordance with NAO group audit instructions, where required.

- We consider our other duties under legislation and the Code, as and when required, including:

   - Giving electors the opportunity to raise questions about your 2018/19 financial statements, consider and decide upon any objections received in relation to the 2018/19 financial statements;

   - issue of a report in the public interest or written recommendations to the Authority under section 24 of the Act, copied to the Secretary of State.

   - Application to the court for a declaration that an item of account is contrary to law under Section 28 or for a judicial review under Section 31 of the Act; or

   - Issuing an advisory notice under Section 29 of the Act.

- We certify completion of our audit.

Other material balances and transactions

Under International Standards on Auditing, "irrespective of the assessed risks of material misstatement, the auditor shall design and perform substantive procedures for each material class of transactions, account balance and disclosure". All other material balances and transaction streams will therefore be audited. However, the procedures will not be as extensive as the procedures adopted for the risks identified in this report.

Going concern

As auditors, we are required to "obtain sufficient appropriate audit evidence about the appropriateness of management's use of the going concern assumption in the preparation and presentation of the financial statements and to conclude whether there is a material uncertainty about the Authority's ability to continue as a going concern" (ISA (UK) 570). We will review management's assessment of the going concern assumption and evaluate the disclosures in the financial statements.

PSAA Contract Monitoring

Dartmoor National Park Authority opted into the Public Sector Audit Appointments (PSAA) Appointing Person scheme which starts in 2018/19. PSAA appointed Grant Thornton as auditors. PSAA is responsible under the Local Audit (Appointing Person) Regulations 2015 for monitoring compliance with the contract and is committed to ensuring good quality audit services are provided by its suppliers. Details of PSAA's audit quality monitoring arrangements are available from its website, www.psaa.co.uk.

Our contract with PSAA contains a method statement which sets out the firm's commitment to deliver quality audit services, our audit approach and what clients can expect from us. We have set out commitment as set out in appendix B to deliver a high quality audit service in the attached presentation. We hope this is helpful. It will also be a benchmark for you to provide feedback on our performance to PSAA via its survey in Autumn 2019.

Materiality

The concept of materiality

The concept of materiality is fundamental to the preparation of the financial statements and the audit process and applies not only to the monetary misstatements but also to disclosure requirements and adherence to acceptable accounting practice and applicable law. Misstatements, including omissions, are considered to be material if they, individually or in the aggregate, could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements.

Materiality for planning purposes

We have determined financial statement materiality based on a proportion of the gross expenditure of the Authority for the financial year. In the prior year we used the same benchmark. Materiality at the planning stage of our audit is £115,560 (PY £100,000) for the Authority, which equates to 2% of your prior year gross expenditure for the year. We design our procedures to detect errors in specific accounts at a lower level of precision.

We reconsider planning materiality if, during the course of our audit engagement, we become aware of facts and circumstances that would have caused us to make a different determination of planning materiality.

Matters we will report to the Authority

Whilst our audit procedures are designed to identify misstatements which are material to our opinion on the financial statements as a whole, we nevertheless report to the Authority any unadjusted misstatements of lesser amounts to the extent that these are identified by our audit work. Under ISA 260 (UK) 'Communication with those charged with governance', we are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance. ISA 260 (UK) defines 'clearly trivial' as matters that are clearly inconsequential, whether taken individually or in aggregate and whether judged by any quantitative or qualitative criteria. In the context of the Authority, we propose that an individual difference could normally be considered to be clearly trivial if it is less than £5,300 (PY £5,000).

If management have corrected material misstatements identified during the course of the audit, we will consider whether those corrections should be communicated to the Authority to assist it in fulfilling its governance responsibilities.

Materiality

Prior year gross expenditure
£5.578m

£115,560
financial statements materiality
(PY: £100,000)

£5,778
Misstatements reported to the Authority
(PY: £5,000)

■ Prior year gross expenditure

■ Materiality
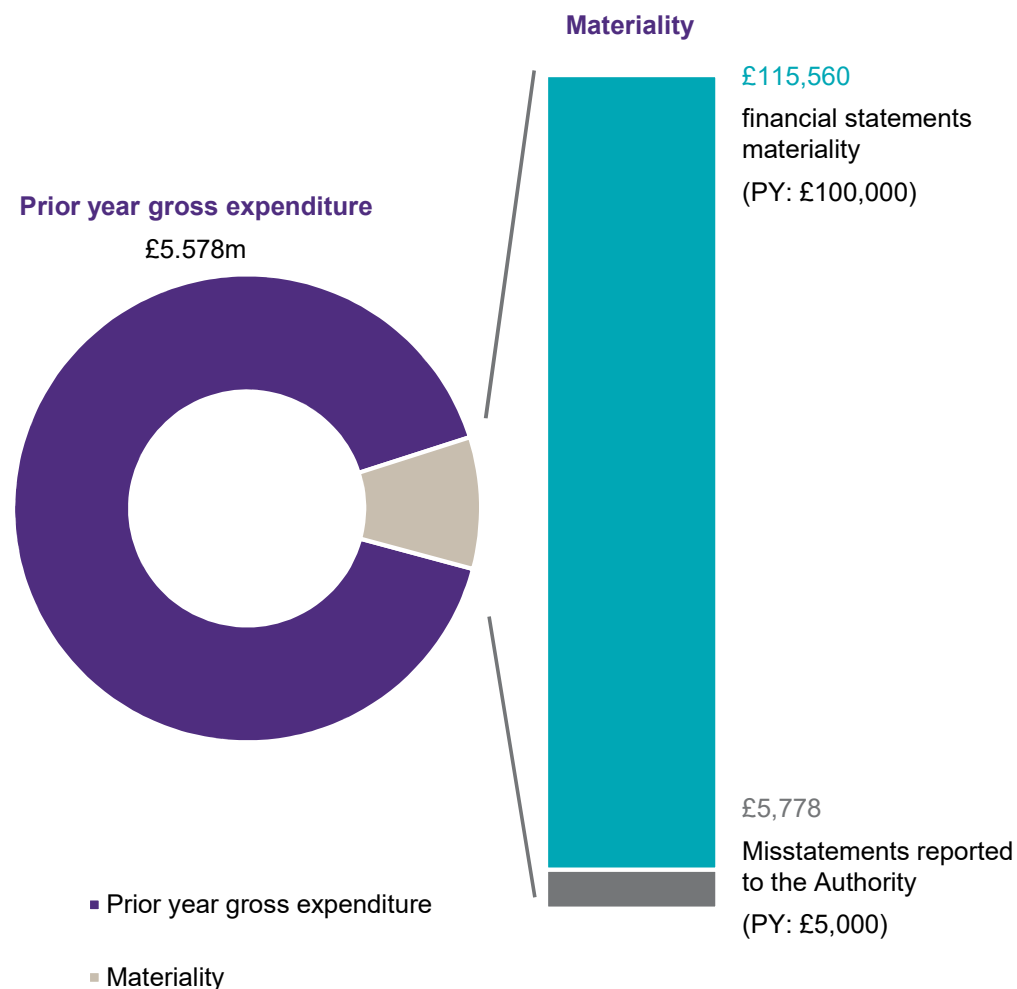
Value for Money arrangements

Background to our VFM approach

The NAO issued its guidance for auditors on Value for Money work in November 2017. The guidance states that for Local Government bodies, auditors are required to give a conclusion on whether the Authority has proper arrangements in place to secure value for money.

The guidance identifies one single criterion for auditors to evaluate:

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

This is supported by three sub-criteria, as set out below:
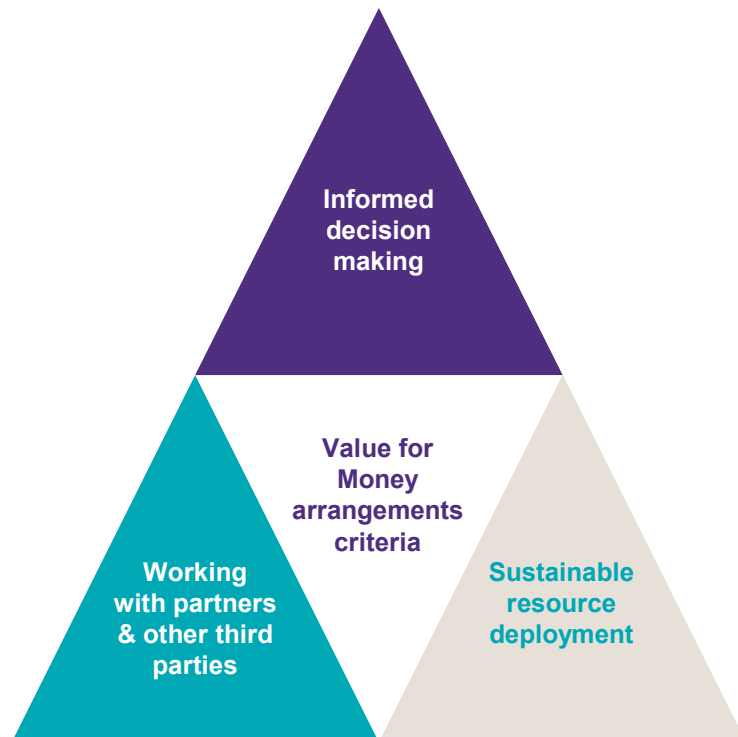
Significant VFM risks

We have not identified any significant risks from our initial risk assessment. We will continue our review of your arrangements, including reviewing your Annual Governance Statement, before we issue our auditor's report.

Informed decision making

Value for Money arrangements criteria

Working with partners & other third parties

Sustainable resource deployment

Audit logistics, team & fees

March 2019

Audit committee
24 May 2019

Year end audit
June 2019

Audit committee
26 July 2019

Planning and risk assessment

Audit Plan

Audit Plan presentation

Audit Findings Report & Audit Opinion

Julie Masci, Engagement Lead

Responsible for overall quality control; accounts opinions; final authorisation of reports; attendance at Authority and/or committee meetings.

Audit fees

The planned audit fees are £9,091 (PY: 11,807) for the financial statements audit completed under the Code. In setting your fee, we have assumed that the scope of the audit, and the Authority and its activities, do not significantly change.

Our requirements

To ensure the audit is delivered on time and to avoid any additional fees, we have detailed our expectations and requirements in the following section 'Early Close'. If the requirements detailed overleaf are not met, we reserve the right to postpone our audit visit and charge fees to reimburse us for any additional costs incurred.

Anopa Gumbie, Audit Manager

Responsible for the overall management of the audit; consideration of VFM work; quality assurance of audit work and outputs.

Agnieszka Balejko, Audit Incharge

Responsible for management of audit fieldwork, including accounts; coordination of work completed by audit assistants; coordination of work of specialists and advisors where delegated by the Manager.

Early close

Meeting the 31 July audit timeframe

In the prior year, the statutory date for publication of audited local government accounts was brought forward to 31 July, across the whole sector. This was a significant challenge for local authorities and auditors alike. For authorities, the time available to prepare the accounts was curtailed, while, as auditors we had a shorter period to complete our work and faced an even more significant peak in our workload than previously.

The audit team has successfully met the deadline in the prior year.

We have carefully planned how we can make the best use of the resources available to us during the final accounts period. As well as increasing the overall level of resources available to deliver audits, we have focused on:

• bringing forward as much work as possible to interim audits

• starting work on final accounts audits as early as possible, by agreeing which authorities will have accounts prepared significantly before the end of May

• seeking further efficiencies in the way we carry out our audits

• working with you to agree detailed plans to make the audits run smoothly, including early agreement of audit dates, working paper and data requirements and early discussions on potentially contentious items.

We are satisfied that, if all these plans are implemented, we will be able to complete your audit and those of our other local government clients in sufficient time to meet the earlier deadline.

Client responsibilities

Where individual clients do not deliver to the timetable agreed, we need to ensure that this does not impact on audit quality or absorb a disproportionate amount of time, thereby disadvantaging other clients. We will therefore conduct audits in line with the timetable set out in audit plans (as detailed on page 10). Where the elapsed time to complete an audit exceeds that agreed due to a client not meetings its obligations we will not be able to maintain a team on site. Similarly, where additional resources are needed to complete the audit due to a client not meeting their obligations we are not able to guarantee the delivery of the audit by the statutory deadline. Such audits are unlikely to be re-started until very close to, or after the statutory deadline. In addition, it is highly likely that these audits will incur additional audit fees.

Our requirements

To minimise the risk of a delayed audit or additional audit fees being incurred, you need to ensure that you:

• produce draft financial statements of good quality by the deadline you have agreed with us, including all notes, the narrative report and the Annual Governance Statement

• ensure that good quality working papers are available at the start of the audit, in accordance with the working paper requirements schedule that we have shared with you

• ensure that the agreed data reports are available to us at the start of the audit and are reconciled to the values in the accounts, in order to facilitate our selection of samples

• ensure that all appropriate staff are available on site throughout (or as otherwise agreed) the planned period of the audit

• respond promptly and adequately to audit queries.

In return, we will ensure that:

• the audit runs smoothly with the minimum disruption to your staff

• you are kept informed of progress through the use of an issues tracker and weekly meetings during the audit

• we are available to discuss issues with you prior to and during your preparation of the financial statements.

Independence & non-audit services

Auditor independence

Ethical Standards and ISA (UK) 260 require us to give you timely disclosure of all significant facts and matters that may bear upon the integrity, objectivity and independence of the firm or covered persons relating to our independence. We encourage you to contact us to discuss these or any other independence issues with us. We will also discuss with you if we make additional significant judgements surrounding independence matters.

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 Financial Reporting Council's Ethical Standard and we as a firm, and each covered person, confirm that we are independent and are able to express an objective opinion on the financial statements.

We confirm that we have implemented policies and procedures to meet the requirements of the Financial Reporting Council's Ethical Standard and we as a firm, and each covered person, confirm that we are independent and are able to express an objective opinion on the financial statements. Further, we have complied with the requirements of the National Audit Office's Auditor Guidance Note 01 issued in December 2017 which set out supplementary guidance on ethical requirements for auditors of local public bodies.

Other services provided by Grant Thornton

Grant Thornton UK LLP does not provide any other services to the Authority.

Appendices

A. **Audit Approach**

B. **Our external audit commitment**

Audit approach

Use of audit, data interrogation and analytics software

LEAP

Audit software

- A globally developed ISA-aligned methodology and software tool that aims to re-engineer our audit approach to fundamentally improve quality and efficiency
- LEAP empowers our engagement teams to deliver even higher quality audits, enables our teams to perform cost effective audits which are scalable to any client, enhances the work experience for our people and develops further insights into our clients' businesses
- A cloud-based industry-leading audit tool developed in partnership with Microsoft

quality processes — METHODOLOGY
knowledgeable people — LEARNING — TECHNOLOGY — flexible tool
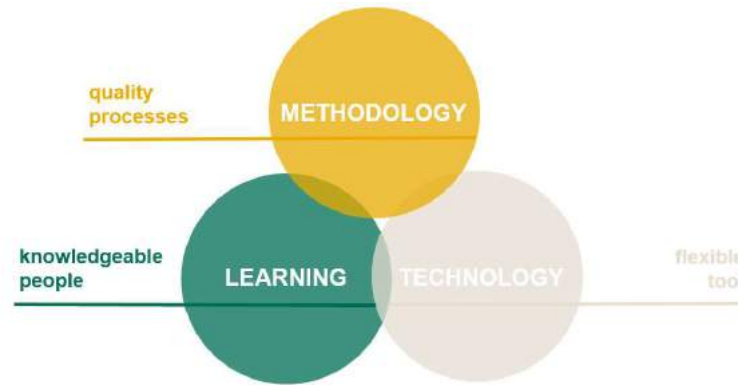
IDEA

- We use one of the world's leading data interrogation software tools, called 'IDEA' which integrates the latest data analytics techniques into our audit approach
- We have used IDEA since its inception in the 1980's and we were part of the original development team. We still have heavy involvement in both its development and delivery which is further enforced through our chairmanship of the UK IDEA User Group
- In addition to IDEA, we also other tools like ACL and Microsoft SQL server
- Analysing large volumes of data very quickly and easily enables us to identify exceptions which potentially highlight business controls that are not operating effectively

Appian

Business process management

- Clear timeline for account review:
  - disclosure dealing
  - analytical review
- Simple version control
- Allow content team to identify potential risk areas for auditors to focus on

Inflo

Cloud based software which uses data analytics to identify trends and high risk transactions, generating insights to focus audit work and share with clients.

REQUEST & SHARE
- Communicate & transfer documents securely
- Extract data directly from client systems
- Work flow assignment & progress monitoring

ASSESS & SCOPE
- Compare balances & visualise trends
- Understand trends and perform more granular risk assessment

VERIFY & REVIEW
- Automate sampling requests
- Download automated work papers

INTERROGATE & EVALUATE
- Analyse 100% of transactions quickly & easily
- Identify high risk transactions for investigation & testing
- Provide client reports & relevant benchmarking KPIs

FOCUS & ASSURE
- Visualise relationships impacting core business cycles
- Analyse 100% of transactions to focus audit on unusual items
- Combine business process analytics with related testing to provide greater audit and process assurance

INSIGHTS
- Detailed visualisations to add value to meetings and reports
- Demonstrates own performance and benchmark comparisons

Our commitment to our local government clients

- Senior level investment
- Local presence enhancing our responsiveness, agility and flexibility.
- High quality audit delivery
- Collaborative working across the public sector
- Wider connections across the public sector economy, including with health and other local government bodies
- Investment in Health and Wellbeing, Social Value and the Vibrant Economy
- Sharing of best practice and our thought leadership.
- Invitations to training events locally and regionally – bespoke training for emerging issues
- Further investment in data analytics and informatics to keep our knowledge of the areas up to date and to assist in designing a fully tailored audit approach

"I have found Grant Thornton to be very impressive…..they bring a real understanding of the area. Their insights and support are excellent. They are responsive, pragmatic and, through their relationship and the quality of their work, support us in moving forward through increasingly challenging times. I wouldn't hesitate to work with them."

Director of Finance, County Council

Local Government audits 2018/19 and beyond
Grant Thornton's External Audit commitment

Our relationship with our clients– why are we best placed?

- We work closely with our clients to ensure that we understand their financial challenges, performance and future strategy.
- We deliver robust, pragmatic and timely financial statements and Value for Money audits
- We have an open, two way dialogue with clients that support improvements in arrangements and the audit process
- Feedback meetings tell us that our clients are pleased with the service we deliver. We are not complacent and will continue to improve further
- Our locally based, experienced teams have a commitment to both our clients and the wider public sector
- We are a Firm that specialises in Local Government, Health and Social Care, and Cross Sector working, with over 25 Key Audit Partners, the most public sector specialist Engagement Leads of any firm
- We have strong relationships with CIPFA, SOLACE, the Society of Treasurers, the Association of Directors of Adult Social Care and others.
- We propose a realistic fee, based on known local circumstances and requirements.

New opportunities and challenges for your community

The Local Government economy

Local authorities face unprecedented challenges including:

- Financial Sustainability – addressing funding gaps and balancing needs against resources
- Service Sustainability –funding gaps and pressure on services
- Transformation – new models of delivery, greater emphasis on partnerships, more focus on economic development
- Technology – cyber security and risk management

At a wider level, the political environment remains complex:

- The government continues its negotiation with the EU over Brexit, and future arrangements remain uncertain.
- We will consider your arrangements for managing and reporting your financial resources as part of our work in reaching our Value for Money conclusion.
- We will keep you informed of changes to the financial reporting requirements for 2018/19 through on-going discussions and invitations to our technical update workshops.

Delivering real value through:

- Early advice on technical accounting issues, providing certainty of accounting treatments, future financial planning implications and resulting in draft statements that are 'right first time'
- Knowledge and expertise in all matters local government, including local objections and challenge, where we have an unrivalled depth of expertise.
- Early engagement on issues, especially on ADMs, restructuring, partnership working, inter authority agreements, governance and financial reporting
- Implementation of our recommendations have resulted in demonstrable improvements in your underlying arrangements, for example financial management, reporting and governance.
- Robust but pragmatic challenge – seeking early liaison on issues, and having the difficult conversations early to ensure a 'no surprises' approach – always doing the right thing
- Providing regional training and networking opportunities for your teams on technical accounting issues and developments and changes to Annual Reporting requirements
- An efficient audit approach, providing tangible benefits, such as releasing finance staff earlier and prompt resolution of issues.

Grant Thornton in Local Government

Our client base and delivery

- We are the largest supplier of external audit services to local government
- We audit over 150 local government clients
- We signed 95% of our local government opinions in 2017/18 by 31 July
- In our latest independent client service review, we consistently score 9/10 or above. Clients value our strong interaction, our local knowledge and wealth of expertise.

Our connections

- We are well connected to MHCLG, the NAO and key local government networks
- We work with CIPFA, Think Tanks and legal firms to develop workshops and good practice
- We have a strong presence across all parts of local government including blue light services
- We provide thought leadership, seminars and training to support our clients and to provide solutions

Our people

- We have over 25 engagement leads accredited by ICAEW, and over 250 public sector specialists
- We provide technical and personal development training
- We employ over 80 Public Sector trainee accountants

Our quality

- Our audit approach complies with the NAO's Code of Audit Practice, and International Standards on Auditing
- We are fully compliant with ethical standards
- Your audit team has passed all quality inspections including QAD and AQRT

Our technical support

- We have specialist leads for Public Sector Audit quality and technical
- We provide national technical guidance on emerging auditing, financial reporting and ethical areas
- Specialist audit software is used to deliver maximum efficiencies

Grant Thornton

DARTMOOR NATIONAL PARK

ANNUAL INTERNAL AUDIT REPORT 2018/19
and
PROPOSED INTERNAL AUDIT PLAN 2019/20

Section 1 - ANNUAL INTERNAL AUDIT REPORT 2018/19

1   INTRODUCTION

1.1   The following report sets out the background to audit service provision, review work undertaken in 2018/19, and provides an opinion on the overall adequacy and effectiveness of the Authority's internal control environment.

1.2   The Accounts and Audit Regulations 2015 specify that all Authorities are required to carry out a review at least once each year of the effectiveness of its system of internal control, and to incorporate the results of that review into their Annual Governance Statement (AGS), which must be published with the annual Statement of Accounts.

2   BACKGROUND

2.1   Service Provision

2.1.1   The Internal Audit (IA) Service for Dartmoor National Park Authority is delivered by the Devon Audit Partnership. This is a shared service arrangement between Devon, Torbay, Plymouth, Torridge and Mid-Devon councils constituted under section 20 of the Local Government Act 2000.

2.2   Regulatory Role

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

> *Section 6 of the Accounts and Audit Regulations (England) Regulations 2015* which states that:

"…….A relevant authority must, each financial year—

   (a) conduct a review of the effectiveness of the system of internal control and

   (b) prepare an annual governance statement"

> *Section 151 of the Local Government Act 1972*, which requires every local authority to make arrangements for the proper administration of its financial affairs.

2.2.2 'Proper practices' have been agreed and defined by the accounting bodies including the Chartered Institute of Public Finance and Accountancy and the Chartered Institute of Internal Auditors as those set out in the Public Sector Internal Audit Standards (PSIAS).

2.2.3 In addition, Internal Audit is governed by policies, procedures, rules and regulations established by the Authority. These include standing orders, schemes of delegation, financial regulations, conditions of service, anti-fraud and corruption strategies, fraud prevention procedures and codes of conduct, amongst others.

3   OBJECTIVES AND SCOPE

3.1   This report presents a summary of the audit work undertaken; includes an opinion on the adequacy and effectiveness of the Authority's internal control environment. The report outlines the level of assurance that we are able to provide, based on the internal audit work completed during the year.

3.2.   The Chief Audit Executive is required to provide the Authority with an assurance on the system of internal control of the Authority. It should be noted, however, that this assurance can never be absolute. The most that the internal audit service can do is to provide reasonable assurance, based on risk-based reviews and sample testing, that there are no major weaknesses in the system of control. In assessing the level of assurance to be given the following have been taken into account:

- the audits completed during 2018/19;

- any significant recommendations not accepted by management and the consequent risks;

- internal audit's performance;

- any limitations that may have been placed on the scope of internal audit.

4   INTERNAL AUDIT COVERAGE 2018/19

4.1   Devon Audit Partnership carried out a review of the Authority's Financial Systems in October and November 2018 and was due to present our final report to the Audit and Governance Committee meeting in February 2019 which was subsequently cancelled.

4.2   As a result of our review we were able to give an audit opinion of "High Standard". This means the system and controls in place adequately mitigate exposure to the risks identified. The system is being adhered to and substantial reliance can be placed upon the procedures in place. We found that staff had a good knowledge of the financial controls and requirements of regulations and policies and our findings reflect the hard work and dedication that is input by all staff involved in the financial management of the Park Authority.

4.3   We have developed good relations with the Head of Business Support, the Authority's Chief Financial Officer and Section 151 Officer, and are available to be consulted on matters relating to control mechanisms. The individual assurance opinions issued in respect of our assignment work were as follows: -

Areas Covered		Level of Assurance
1	Main Accounting System - including Bank Reconciliations and Budgetary Control	High Standard
2	Investments	High Standard
3	Purchasing/Ordering and Creditor Payments	High Standard
4	Payroll and Travel Expenditure	High Standard
5	Debtors – Income and Cash Collection	High Standard
6	Inventories / Disposals	High Standard

4.4   Our report highlighted two minor issues which we discussed with senior management. The first concerned the Authority's Procurement Procedures which were stating out of date EU Thresholds, reflecting the 2016 limits and not the revised limits that were introduced on 1st January 2018. The Procurement Procedures have been comprehensively revised, and the limits updated as part of this. The other issue highlighted in our report dealt with personnel files, a review of a selection of these files identified that one did not contain evidence of pre-recruitment references. The HR Administrators have been reminded of the importance of ensuring references are received and retained appropriately. Both recommendations further enhance already sound procedures and have been fully implemented.

4.5   2018/19 saw an additional two days spent on a review of the on-going implementation of the new Data Protection Act (DPA) 2018 requirements. The review, undertaken in April 2018 in the run up to the new Act coming into force on 25th May 2018, was a "point in time" assessment using a pre-site visit self-assessment, followed up with discussions with staff directly involved with attaining compliance with the new data protection requirements. The review found that Dartmoor National Park Authority was well placed to achieve a high level of ongoing data protection compliance. Whilst there was conflict between the designated DPO's role within the organisation and the DPA 2018, it should be considered that the current designated officer (Head of ICT & Premise) provides a high level of wisdom in respect of data protection and the working of the Authority itself.

5   INTERNAL AUDIT OPINION

5.1   In carrying out systems and other reviews, Internal Audit assesses whether key, and other, controls are operating satisfactorily within the area under review, and an opinion on the adequacy of controls is provided to management as part of the audit report.

5.2   Our final audit reports also include an action plan which identifies responsible officers, and target dates, to address control issues identified during a review. Implementation of action plans are reviewed during subsequent audits or as part of a specific follow-up process.

5.3   Management has been provided with details of our work completed in 2018/19 to assist them when considering governance arrangements. The expectation is that if significant weaknesses are identified in specific areas, these should be considered by the Authority in preparing its Annual Governance Statement; there are no such "significant weaknesses" arising from our work in 2018/19.

5.4   Overall, and based on work performed during 2018/19, Internal Audit is able to provide Full Assurance on the adequacy and effectiveness of the Authority's internal control environment.

Full Assurance	Risk management arrangements are properly established, effective and fully embedded, aligned to the risk appetite of the organisation. The systems and control framework mitigate exposure to risks identified & are being consistently applied in the areas reviewed.
Significant Assurance	Risk management and the system of internal control are generally sound and designed to meet the organisation's objectives. However, some weaknesses in design and / or inconsistent application of controls do not mitigate all risks identified, putting the achievement of particular objectives at risk.
Limited Assurance	Inadequate risk management arrangements and weaknesses in design, and / or inconsistent application of controls put the achievement of the organisation's objectives at risk in a number of areas reviewed.
No Assurance	Risks are not mitigated and weaknesses in control, and /or consistent non-compliance with controls could result / has resulted in failure to achieve the organisation's objectives in the areas reviewed, to the extent that the resources of the Council may be at risk, and the ability to deliver the services may be adversely affected.

Section 2 - INTERNAL AUDIT PLAN 2019/20

1   INTRODUCTION

1.1   Under the Local Government Act 1972, the Chief Financial Officer has a statutory duty to ensure that all financial systems in the Authority are secure. Assurance that this is the case is given through the reporting of Internal Audit. Audits will be carried out under the terms of Accountancy and Audit Regulations 2015.

1.2   As the Internal Auditors for Dartmoor National Park Authority it is our responsibility to ensure that all financial systems are operating effectively and in line with the Authority's financial regulations.

1.3   For Dartmoor National Park Authority, the role of Chief Financial Officer and Section 151 Officer is undertaken by the Head of Business Support.

2   THE AIM OF THE PLAN

2.1   The plan is reviewed and agreed on an annual basis, incorporating the key risks identified through the Authority's risk register and areas identified by Internal Audit. The plan also incorporates the requirements of the External Auditors in reviewing finance systems.

2.2   The main objectives of the plan are to provide assurance to the Section 151 Officer and the external auditors that all financial systems are: -

•   Secure;
•   Effective;
•   Efficient;
•   Accurate;
•   Complete;
•   Compliant.

2.3   In order to confirm this, system reviews and compliance testing are completed at the Authority's HQ (Parke), High Moorland Office and Visitor Centres located throughout the Park, as required.

3   THE PLAN

3.1   The audit plan for the financial year 2019/20 allows for up to 20 days of internal audit support.

3.2   All but one of the 20 days will cover the financial audit reviews required as part of Internal Audit responsibilities in reporting to the Section 151 Officer. This also satisfies your external auditors of the security and effectiveness of the financial systems. As your Internal Auditors we will provide the documentation required by external audit to ensure they are satisfied with operations.

3.3   We liaise with your external auditors to discuss the testing planned to ensure this satisfies their requirements and reduces their need for review of these financial systems. The remainder of the planned days incorporates reviews of specific systems as identified through an audit risk assessment process, the Authority's risk register and liaison with management.

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

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

    Note – these reviews may change to take account of the needs of External Audit.

3.5   Any major findings (if applicable) from the previous year's audit plan will be reviewed to ensure that agreed recommendations have been implemented and are effective. An annual report for your Audit and Governance Committee will be produced in good time and for the expected May 2020 meeting.

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

4   TIMETABLE

4.1   The audits will be completed at specified times of the year through consultation and prior agreement of the Head of Business Support. This will also take into account the timetable of external audit where applicable.

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

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

5   2018/19 PLAN

5.1   The following table sets out the planned internal audit work for 2018/19. Other issues and systems are sometimes identified during the course of the audits and if found will be discussed with the Head of Business Support. These issues may be incorporated into future audit plans dependent upon priority and risk assessment.

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

5.2   The cost of these 20 days will be £5,700 (plus VAT). Additional support will be provided as and when required. Our standard daily rate for this work will be £285, although specialist support may be at a different rate. Please contact us for further details. (Please note that this is an increase on last year's rates due to Pay related increases).

Robert Hutchins
Head of Devon Audit Partnership
May 2019

Dartmoor National Park Authority

INTERNAL AUDIT STRATEGY (March 2019)

1   INTRODUCTION

Internal Audit is a statutory service in the context of The Accounts and Audit (England) Regulations 2015, which state:

5.—(1) A relevant authority must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards (PSIAS) or guidance.

In addition, the Local Government Act 1972, Section 151, requires every local authority to designate an officer to be responsible for the proper administration of its financial affairs. In The Authority, the Head of Business Support is the 'Section 151 Officer'. One of the ways in which this duty is discharged is by maintaining an adequate and effective internal audit service.

The PSIAS refers to the role of Chief Audit Executive and requires this officer to ensure and deliver a number of key elements to support the internal audit arrangements. For the Authority, the role of Chief Audit Executive is provided by the Head of Devon Audit Partnership.

The PSIAS require the Head of Devon Audit Partnership to produce an Audit Charter setting out audit's purpose, authority and responsibility. We deliver this through our Audit Strategy, which:

- is a high-level statement of how the internal audit service will be delivered and developed in accordance with the Charter and how it links to the organisational objectives and priorities;
- will communicate the contribution that Internal Audit makes to the organisation and should include:

  - internal audit objectives and outcomes;
  - how the Head of Devon Audit Partnership will form and evidence his opinion on the governance, risk and control framework to support the Annual Governance Statement;
  - how Internal Audit's work will identify and address significant local and national issues and risks;
  - how the service will be provided, and
  - the resources and skills required to deliver the Strategy.

- should be approved, but not directed, by the Audit & Governance Committee.

The Strategy should be kept up to date with the organisation and its changing priorities.

2 INTERNAL AUDIT OBJECTIVES AND OUTCOMES

The primary objective of Internal Audit is to provide an independent and objective opinion to the Authority on the governance, risk and control framework by evaluating its effectiveness in achieving the organisation's objectives through examining, evaluating and reporting on their adequacy as a contribution to the proper, economic, efficient use of resources.

To achieve this primary objective, the Head of Devon Audit Partnership aims to fulfil the statutory responsibilities for Internal Audit by:

- identifying all of the systems, both financial and non-financial, that form the Authority's control environment and governance framework, and contribute to it meeting its obligations and objectives – the 'Audit Universe';
- creating an audit plan providing audit coverage on the higher risk areas in the Audit Universe;
- undertaking individual audit reviews, to the standards set by the PSIAS, to independently evaluate the effectiveness of internal control;
- providing managers with an opinion on, and recommendations to improve, the effectiveness of risk management, control and governance processes;
- providing managers with advice and consultancy on risk management, control and governance processes;
- liaising with the Authority's external auditors to ensure efficient use of scarce audit resources through the avoidance of duplication wherever possible; and
- providing the Authority, through the Audit & Governance Committee, with an opinion on governance, risk and control framework as a contribution to the Annual Governance Statement.

3 OPINION ON THE GOVERNANCE, RISK AND CONTROL FRAMEWORK

As stated above, one of the key objectives of Internal Audit is to communicate to management an independent and objective opinion on the governance, risk and control framework, and to prompt management to implement agreed actions.

Significant issues and risks are to be brought to the attention of the S.151 Officer as and when they arise. Regular formal meetings should also be held to discuss issues arising and other matters.

The Head of Devon Audit Partnership will report progress against the annual audit plan and any emerging issues and risks to the Audit & Governance Committee.

The Head of Devon Audit Partnership will also provide a written annual report to the Audit & Governance Committee, timed to support their recommendation to approve the Annual Governance Statement, to the Authority.

The Head of Devon Audit Partnership's annual report to the Audit & Governance Committee will:

(a) include an opinion on the overall adequacy and effectiveness of the Authority's governance, risk and control framework;
(b) disclose any qualifications to that opinion, together with the reasons for the qualification;
(c) present a summary of the audit work from which the opinion is derived, including reliance placed on work by other assurance streams;
(d) draw attention to any issues the Head of Devon Audit Partnership judges particularly relevant to the preparation of the Annual Governance Statement;

(e)   compare the audit work actually undertaken with the work that was planned and summarise the performance of the internal audit function against its performance measures and targets; and

(f)   comment on compliance with the Public Sector Internal Audit Standards and communicate the results of the internal audit quality assurance programme.

4   PLANNING, INCLUDING LOCAL AND NATIONAL ISSUES AND RISKS

The audit planning process includes the creation of and ongoing revision of an "audit universe". This seeks to identify all risks, systems and processes that may be subject to an internal audit review.

The audit universe will include a risk assessment scoring methodology that takes account of a number of factors including: the Authority's own risk score; value of financial transactions; level of change, impact on the public; political sensitivity; when last audited; and the impact of an audit. This will inform the basis of the resources allocated to each planned audit area.

The results from the audit universe will be used in creating an annual audit plan; such a plan will take account of emerging risks at both local and national level.

Assignment planning

Further planning and risk assessment is required at the commencement of each individual audit assignment to establish the scope of the audit and the level of testing required.

5   PROVISION OF INTERNAL AUDIT

The Internal Audit for the National Park Authority is provided by Devon Audit Partnership

The Head of Devon Audit Partnership has established policies and procedures in an Audit Manual to guide staff in performing their duties and complying with the latest available PSIAS guidance. The manual is reviewed and updated to reflect changes in working practices and standards.

Internal Audit Performance Management and Quality Assurance

The PSIAS state that the Head of Devon Audit Partnership should have in place an internal performance management and quality assurance framework; this framework must include:

*   a comprehensive set of *targets to measure performance*. These should be regularly monitored and the progress against these targets reported appropriately;
*   seeking *user feedback* for each individual audit and periodically for the whole service;
*   a periodic review of the service against the Strategy and the achievement of its aims and objectives. The results of this should inform the future Strategy and be reported to the Audit & Governance Committee;
*   internal quality reviews to be undertaken periodically to ensure compliance with the PSIAS and the Audit Manual (self assessment); and
*   an action plan to implement improvements.

Performance Measures and targets

The Head of Devon Audit Partnership will closely monitor the performance of the team to ensure agreed targets are achieved. A series of performance indicators have been developed for this purpose (please below).

Dartmoor National Park Authority - Internal Audit Performance Monitoring Targets.

Performance Indicator	Full year target
Percentage of Audit Plan completed	90%
Customer Satisfaction - % satisfied or very satisfied as per feedback forms	90%
Draft reports produced with target number of days (currently 15 days)	90%
Final reports produced within target number of days (currently 10 days)	90%

There are a number of other indicators that are measured as part of the audit process that will be captured and reported to senior management.

Task	Performance measure
Agreement of Annual audit plan	Agreed by the Head of Business Support and Audit Committee prior to start of financial year
Agreement of assignment brief	Assignment briefs are agreed with and provided to auditee at least two weeks before planned commencement date.
Undertake audit fieldwork	Fieldwork commenced at agreed time
Verbal debrief	Confirm this took place as expected; was a useful summary of the key issues; reflects the findings in the draft report.
Draft report	Promptly issued within 15 days of finishing our fieldwork. Report is "accurate" and recommendations are both workable and useful.
Draft report meeting (if required)	Such a meeting was useful in understanding the audit issues
Annual internal audit report	Prepared promptly and ready for senior management consideration by end of May. Report accurately reflects the key issues identified during the year.
Presentation of internal audit report to management and audit committee.	Presentation was clear and concise. Presenter was knowledgeable in subject area and able to answer questions posed by management / members.
Contact with the audit team outside of assignment work.	You were successfully able to contact the person you needed, or our staff directed you correctly to the appropriate person. Emails, letters, telephone calls are dealt with promptly and effectively.

Once collated the indicators will be reported to the Section 151 Officer on a regular basis, and will be summarised in an annual report. Performance indicator information will also be presented to the Audit & Governance Committee for information and consideration.

The Head of Devon Audit Partnership is expected to ensure that the performance and the effectiveness of the service improves over time, in terms of both the achievement of targets and the quality of the service provided to the user.

Customer (user) feedback

The PSIAS and the Internal Audit Manual state that internal audit performance, quality and effectiveness should be assessed at two levels:

- for each individual audit; and
- for the Internal Audit service as a whole.

Customer feedback is also used to define and refine the audit approach. Devon Audit Partnership will seek feedback from:-
- auditees;
- senior leadership; and
- Members.

The results from our feedback will be reported to the Leadership Team and the Audit & Governance Committee in the annual report.

Internal quality reviews

Devon Audit Partnership management have completed a self-assessment checklist against the PSIAS and have identified that there are no omissions in our practices. We consider that we fully meet over 95% of the elements; partially meet 3% (6); and are not required to or do not meet 2% (five) of the elements. The self-assessment will be updated annually, and, if management identify areas where we could further strengthen our approaches, these will be added to the Quality Action Improvement Plan.

In December 2016 Devon Audit Partnership welcomed Terry Barnett, Head of Assurance for Hertfordshire Shared Internal Audit Service and his colleague Chris Wood, Audit Manager, who completed an external validation of the Partnership.

Terry and Chris concluded that;

"It is our overall opinion that the Devon Audit Partnership **generally conforms*** to the Public Sector Internal Audit Standards, including the Definition of Internal Auditing, the Code of Ethics and the Standards.

* Generally Conforms – This is the top rating and means that the internal audit service has a charter, policies and processes that are judged to be in conformance to the Standards

6   RESOURCES AND SKILLS

Resources

The PSIAS and the Audit Manual states that:

- Internal Audit must be appropriately staffed in terms of numbers, grades, qualifications and experience, having regard to its responsibilities and objectives, or have access to the appropriate resources;
- The Internal Audit service shall be managed by an appropriately qualified professional with wide experience of internal audit and of its management; and
- The Chief Audit Executive (Head of Devon Audit Partnership) should be of the calibre reflecting the responsibilities arising from the need to liaise with members, senior management and other professionals, and be suitably experienced.

Devon Audit Partnership currently has c.30 staff who operate from any one of our three main locations (Plymouth, Torquay and Exeter). The Partnership employs a number of specialists in areas such as Computer Audit, Contracts Audit and Counter Fraud Investigations as well as a mix of experienced, professionally qualified and non-qualified staff.

The Partnership draws on a range of skilled staff to meet the audit needs. Our current staff (as at February 2019) includes :-
- 3 x CCAB qualified
- 6 x qualified IIA
- 2 x qualified computer audit (QICA & CISA)
- 10 x AAT qualified
- 5 x ACFS (accredited counter fraud specialists)
- 4 x ILM (Institute of Leadership & Management) level 5 or above

Devon Audit Partnership uses MorganKai Insight (MKi) as an audit management system. This system allows Partnership management to effectively plan, deliver and report audit work in a consistent and efficient manner. The system provides a secure working platform and ensures confidentiality of data. The system promotes mobile working, allowing the team to work effectively at client locations or at remote locations should the need arise.

Staff Development and Training

Devon Audit Partnership management assess the skills of staff to ensure the right people are available to undertake the work required.

Staff keep up to date with developments within internal audit by attending seminars, taking part in webinars and conferences, attending training events and keeping up to date on topics via websites and professional bodies. Learning from these events helps management to ensure they know what skills will be required of our team in the coming years, and to plan accordingly.

Devon Audit Partnership follows formal appraisal processes that identify how employees are developing and create training and development plans to address needs.

Devon Audit Partnership

March 2019

Auditing for achievement

Dartmoor National Park Authority

INTERNAL AUDIT CHARTER (March 2019)

MISSION

The Mission of Devon Audit Partnership is to enhance and protect organisational value by providing risk based and objective assurance, advice and insight across its partners.

TERMS OF REFERENCE

This Charter formally describes the purpose, authority, and principal responsibilities of the Authority's Internal Audit Service, which is provided by the Devon Audit Partnership (DAP), and the scope of Internal Audit work. This Charter complies with the mandatory requirements of the Public Sector Internal Audit Standards.

DEFINITIONS

Internal auditing is defined by the Public Sector Internal Audit Standards (PSIAS) as "an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes".

The PSIAS set out the requirements of a 'Board' and of 'senior management'. For the purposes of the internal audit activity within the Authority the role of the Board within the Standards is taken by the Authority's Audit & Governance Committee and senior management is the Authority's Leadership Team.

The PSIAS make reference to the role of "Chief Audit Executive". For the Authority this role is fulfilled by the Head of Devon Audit Partnership (HoDAP).

STATUTORY REQUIREMENTS

Internal Audit is a statutory service in the context of The Accounts and Audit (England) Regulations 2015, which state:

> *5.—(1) A relevant authority must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.*

In addition, the Local Government Act 1972, Section 151, requires every local authority to designate an officer to be responsible for the proper administration of its financial affairs. In the

Park Authority, the Head of Business Support is the 'Section 151 Officer'. One of the ways in which this duty is discharged is by maintaining an adequate and effective internal audit service.

THE PURPOSE AND AIM OF INTERNAL AUDIT

The role of Internal Audit is to understand the key risks of the National Park Authority; to examine and evaluate the adequacy and effectiveness of the system of risk management and the entire control environment as operated throughout the organisation and contribute to the proper, economic, efficient and effective use of resources. In addition, the other objectives of the function are to:

- support the Section 151 Officer to discharge his / her statutory duties
- contribute to and support the Finance function in ensuring the provision of, and promoting the need for, sound financial systems
- support the corporate efficiency and resource management processes by conducting value for money and efficiency studies and supporting the work of corporate working groups as appropriate
- provide a quality fraud investigation service which safeguards public monies.

The existence of Internal Audit does not diminish the responsibility of management to establish systems of internal control to ensure that activities are conducted in a secure, efficient and well-ordered manner.

Internal Audit for the Authority is provided by Devon Audit Partnership (DAP). We aim to provide a high quality, professional, effective and efficient Internal Audit Service to the Members, service areas and units of the Authority, adding value whenever possible.

PROFESSIONALISM, ETHICS AND INDEPENDENCE

Being Professional

We (Devon Audit Partnership) will adhere to the relevant codes and guidance. In particular, we adhere to the Institute of Internal Auditors' (IIA's) mandatory guidance including the Definition of Internal Auditing, the Code of Ethics, and the Public Sector Internal Audit Standards. This mandatory guidance constitutes principles of the fundamental requirements for the professional practice of internal auditing within the public sector and for evaluating the effectiveness of Internal Audit's performance. The IIA's Practice Advisories, Practice Guides, and Position Papers will also be adhered to as applicable to guide operations. In addition, Internal Audit will adhere to the Authority's relevant policies and procedures and the internal audit manual.

Internal Auditors must apply the care and skill expected of a reasonably prudent and competent internal auditor. Due professional care does not, however, imply infallibility.

Our Ethics

Internal auditors in UK public sector organisations must conform to the Code of Ethics as set out by the Institute of Internal Auditors. This Code of Ethics promotes an ethical culture in the profession of internal auditing. If individual internal auditors have membership of another professional body then he or she must also comply with the relevant requirements of that organisation.

The Code of Ethics extends beyond the definition of internal auditing to include two essential components:

1. Principles that are relevant to the profession and practice of internal auditing;
2. Rules of Conduct that describe behaviour norms expected of internal auditors.

The Code of Ethics provides guidance to internal auditors serving others, and applies to both individuals and entities that provide internal auditing services.

The Code of Ethics promotes an ethical, professional culture. It does not supersede or replace Codes of Ethics of employing organisations. Internal auditors must also have regard to the Committee on Standards of Public Life's Seven Principles of Public Life.

Being Independent

Internal Audit should be independent of the activities that it audits.

The status of Internal Audit should enable it to function effectively. The support of the Authority is essential and recognition of the independence of Internal Audit is fundamental to its effectiveness.

The Head of Devon Audit Partnership should have direct access to and freedom to report in his or her own name and without fear or favour to, all officers and members and particularly to those charged with governance (the Authority). In the event of the necessity arising, the facility also exists for Internal Audit to have direct access to the Chief Executive, the S.151 Officer and the Chair of the Authority and the Audit & Governance Committee.

The Authority should make arrangements for Internal Audit to have adequate budgetary resources to maintain organisational independence.

The Head of Devon Audit Partnership should have sufficient status to facilitate the effective discussion of audit strategies, audit plans, audit reports and action plans with senior management and members of the Authority.

Auditors should be mindful of being independent. They;

- Must have an objective attitude of mind and be in a sufficiently independent position to be able to exercise judgment, express opinions and present recommendations with impartiality;
- Notwithstanding employment by the Partnership / Authority, must be free from any conflict of interest arising from any professional or personal relationships or from any pecuniary or other interests in an activity or organisation which is subject to audit;
- Must be free from undue influences which either restrict or modify the scope or conduct of their work or significantly affect judgment as to the content of the internal audit report; and
- Must not allow their objectivity to be impaired by auditing an activity for which they have or have had responsibility.

AUTHORITY

Internal Audit, with strict accountability for confidentiality and safeguarding records and information, is authorised full, free, and unrestricted access to any and all of the organisation's records, physical properties, and personnel pertinent to carrying out any engagement.

All employees are requested to assist Internal Audit in fulfilling its roles and responsibilities. This is enforced in the Accounts and Audit (England) Regulations 2015 section 5(2-3) that state that:

(2) Any officer or member of a relevant authority must, if required to do so for the purposes of the internal audit—
  (a) make available such documents and records; and
  (b) supply such information and explanations;

as are considered necessary by those conducting the internal audit.

(3) In this regulation "documents and records" includes information recorded in an electronic form.

In addition, Internal Audit, through the Head of Devon Audit Partnership, where deemed necessary, will have unrestricted access to:

- the Chief Executive
- Members
- individual Heads of Service
- Section 151 Officer
- Monitoring Officer
- all authority employees
- all authority premises.

ACCOUNTABILITY

Devon Audit Partnership is a shared service established and managed via a Partnership Committee and Board with representation from each of the founding partners. The Partnership operates as a separate entity from the client authorities and Internal Audit is therefore independent of the activities which it audits. This ensures unbiased judgements essential to proper conduct and the provision of impartial advice to management. Devon Audit Partnership operates within a framework that allows the following:

- unrestricted access to senior management and members
- reporting in its own name
- separation from line operations

Every effort will be made to preserve objectivity by ensuring that all audit members of audit staff are free from any conflicts of interest and do not, ordinarily, undertake any non-audit duties.

The Head of Devon Audit Partnership fulfils the role of Chief Audit Executive at the Authority and will confirm to the Audit & Governance Committee, at least annually, the organisational independence of the internal audit activity.

The National Park Authority 'Section 151 Officer' will liaise with the Head of Devon Audit Partnership and is therefore responsible for monitoring performance and ensuring independence.

Internal Auditors must exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal Auditors must make a balanced assessment of all the relevant circumstances and not be unduly influenced by their own interests or by others in forming judgments.

The Head of Devon Audit Partnership reports functionally to the Audit & Governance Committee on items such as:
- approving the internal audit charter;
- approving the risk based internal audit plan;
- receiving reports from the Head of Devon Audit Partnership on the section's performance against the plan and other matters;

- approving the Head of Devon Audit Partnership's annual report'
- approve the review of the effectiveness of the system of internal audit.

The Head of Devon Audit Partnership has direct access to the Chair of the Authority and the Audit & Governance Committee and has the opportunity to meet with the Authority and / or the Audit & Governance Committee in private.

RESPONSIBILITIES

The Chief Executive (National Park Officer), Heads of Service and other senior officers are responsible for ensuring that internal control arrangements are sufficient to address the risks facing their services.

The Head of Devon Audit Partnership will provide assurance to the Head of Business Support 'Section 151 Officer' regarding the adequacy and effectiveness of the Authority's financial framework, helping meet obligations under the LGA 1972 Section 151.

The Head of Devon Audit Partnership will provide assurance to the Monitoring Officer in relation to the adequacy and effectiveness of the systems of governance within the Authority helping him / her meet obligations under the Local Government and Housing Act 1989 and the Authority's Standing Orders. He will also work with the Monitoring Officer to ensure the effective implementation of the Authority's Whistleblowing Policy.

Internal Audit responsibilities include but are not limited to:

- examining and evaluating the soundness, adequacy and application of the Authority's systems of internal control, risk management and corporate governance arrangements;
- reviewing the reliability and integrity of financial and operating information and the means used to identify, measure, classify and report such information;
- reviewing the systems established to ensure compliance with those policies, plans, procedures and regulations which could have a significant impact on operations;
- reviewing the means of safeguarding assets and, as appropriate, verifying the existence of such assets;
- investigating alleged fraud and other irregularities referred to the service by management, or concerns of fraud or other irregularities arising from audits, where it is considered that an independent investigation cannot be carried out by management;
- appraising the economy, efficiency and effectiveness with which resources are employed and the quality of performance in carrying out assigned duties including Value for Money Studies;
- working in partnership with other bodies to secure robust internal controls that protect the Authority's interests;
- advising on internal control implications of new systems;
- providing consulting and advisory services related to governance, risk management and control as appropriate for the organisation;
- being responsible for reporting significant risk exposures and control issues identified to the Authority and/or the Audit & Governance Committee and to senior management (Leadership Team), including fraud risks, governance issues.

INTERNAL AUDIT MANAGEMENT

The PSIAS describe the requirement for the management of the internal audit function. This sets out various criteria that the Head of Devon Audit Partnership (as Chief Audit Executive) must meet, and includes :-

- be appropriately qualified;

- determine the priorities of, deliver and manage the Authority's internal audit service through a risk based annual audit plan;
- regularly liaise with the Authority's external auditors to ensure that scarce audit resources are used effectively;
- include in the plan the approach to using other sources of assurance if appropriate;
- be accountable, report and build a relationship with the Authority and the Audit & Governance Committee and S.151 Officer; and
- monitor and report upon the effectiveness of the service delivered and compliance with professional and ethical standards.

These criteria are brought together in an Audit Strategy which explains how the service will be delivered and reflect the resources and skills required.

The Head of Devon Audit Partnership is required to give an annual audit opinion on the governance, risk and control framework based on the audit work done.

The Head of Devon Audit Partnership should also have the opportunity for free and unfettered access to the Chief Executive and meet periodically with the Monitoring Officer and S.151 Officer to discuss issues that may impact on the Authority's governance, risk and control framework and agree any action required.

INTERNAL AUDIT PLAN AND RESOURCES

At least annually, the Head of Devon Audit Partnership will submit to the Authority and / or the Audit & Governance Committee a risk-based internal audit plan for review and approval. The Head of the Devon Audit Partnership will:

- develop, in consultation with Heads of Service, an annual audit plan based on an understanding of the significant risks to which the organisation is exposed;
- submit the plan to the Audit & Governance Committee for review and agreement;
- implement the agreed audit plan;
- maintain a professional audit staff with sufficient knowledge, skills and experience to carry out the plan and carry out continuous review of the development and training needs;
- maintain a programme of quality assurance and a culture of continuous improvement;

The internal audit plan will include timings as well as budget and resource requirements for the next fiscal year. The Head of Internal Audit will communicate the impact of resource limitations and significant interim changes to senior management and the Audit & Governance Committee.

Internal Audit resources must be appropriately targeted by assessing the risk, materiality and dependency of the Authority's systems and processes. Any significant deviation from the approved Internal Audit plan will be communicated through the periodic activity reporting process.

It is a requirement of the Authority's Anti-Fraud and Corruption Strategy that the Head of Devon Audit Partnership be notified of all suspected or detected fraud, corruption or impropriety. All reported irregularities will be investigated in line with established strategies and policies. The audit plan will also include sufficient resource to carry out proactive anti-fraud work.

Internal Audit activities will be conducted in accordance with Authority strategic objectives and established policies and procedures.

Monitoring of Internal Audit's processes is carried out on a continuous basis by Internal Audit management, and the Authority's members and management may rely on the professional expertise of the Head of the Devon Audit Partnership to provide assurance. From time to time,

independent review is carried out: for example, through peer reviews; ensuring compliance with the PSIAS is an essential approach to such a review.

REPORTING

The primary purpose of Internal Audit reporting is to communicate to management within the organisation, information that provides an independent and objective opinion on governance, the control environment and risk exposure and to prompt management to implement agreed actions.

Internal Audit should have direct access and freedom to report in their own name and without fear or favour to, all officers and members, particularly to those charged with governance (the Authority and / or Audit & Governance Committee).

A written report will be prepared for every internal audit project and issued to the appropriate manager accountable for the activities under review. Reports will include an 'opinion' on the risk and adequacy of controls in the area that has been audited, which, together, will form the basis of the annual audit opinion on the overall control environment.

The aim of every Internal Audit report should be:

- to give an opinion on the risk and controls of the area under review, building up to the annual opinion on the control environment; and
- to recommend and agree actions for change leading to improvement in governance, risk management, the control environment and performance.

The Manager will be asked to respond to the report in writing, within 30 days, although this period can be extended by agreement. The written response must show what actions have been taken or are planned in relation to each risk or control weakness identified. If action is not to be taken this must also be stated. The Head of Devon Audit Partnership is responsible for assessing whether the manager's response is adequate.

Where deemed necessary, the Internal Audit report will be subject to a follow-up, normally within six months of its issue, in order to ascertain whether the action stated by management in their response to the report has been implemented.

The Head of the Devon Audit Partnership will

- submit periodic reports to the Audit & Governance Committee summarising key findings of reviews and the results of follow-ups undertaken;
- submit on an annual basis an Annual Internal Audit Report to the Audit & Governance Committee, incorporating an opinion on the Authority's control environment, which will also inform the Annual Governance Statement.

RELATIONSHIP WITH THE AUDIT & GOVERNANCE COMMITTEE

The Authority's Audit & Governance Committee will act as the Board as defined in the Public Sector Internal Audit Standards (PSIAS),

The Specific Functions of the Audit & Governance Committee are set out in the Authority's Standing Orders (Appendix 3 -Terms of Reference for Committees of the Authority).

The Head of Devon Audit Partnership will assist the Committee in being effective and in meeting its obligations. To facilitate this, the Head of Devon Audit Partnership will:

- attend meetings, and contribute to the agenda;
- ensure that it receives, and understands, documents that describe how Internal Audit will fulfil its objectives (e.g. the Audit Strategy, annual work programmes, progress reports);
- report the outcomes of internal audit work, in sufficient detail to allow the committee to understand what assurance it can take from that work and/or what unresolved risks or issues it needs to address;
- establish if anything arising from the work of the committee requires consideration of changes to the audit plan, and vice versa;
- present an annual report on the effectiveness of the system of internal audit; and
- present an annual internal audit report including an overall opinion on the governance, risk and control framework

QUALITY ASSURANCE AND IMPROVEMENT PROGRAMME

The PSIAS states that a quality assurance and improvement programme must be developed; the programme should be informed by both internal and external assessments.

An external assessment must be conducted at least once in five years by a suitably qualified, independent assessor.

In December 2016, Terry Barnett, Head of Assurance for Hertfordshire Shared Internal Audit Service, completed an external validation of the Partnership. Terry concluded that;

> "It is our overall opinion that the Devon Audit Partnership **generally conforms*** to the Public Sector Internal Audit Standards, including the Definition of Internal Auditing, the Code of Ethics and the Standards.

* Generally Conforms – This is the top rating and means that the internal audit service has a charter, policies and processes that are judged to be in conformance to the Standards

CHARTER – NON CONFORMANCE AND REVIEW

Any instances of non conformance with the Internal Audit Definition, Code of Conduct or the Standards must be reported to the Audit & Governance Committee, and in significant cases consideration given to inclusion in the Annual Governance Statement.

The Head of Devon Audit Partnership will advise the Audit & Governance Committee on behalf of the Authority on the content of the Charter and the need for any subsequent amendment. The Charter should be approved and regularly reviewed by the Audit & Governance Committee.

Devon Audit Partnership

March 2019

Auditing for achievement

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT AND GOVERNANCE COMMITTEE

24 MAY 2019

2018/19 FINANCIAL OUTTURN

Report of the Head of Business Support

Recommendation: **Subject to any amendment Members see fit to propose:**
- **(i)   that the content of this report is noted;**
- **(ii)   that the Authority transfers the 2018/19 revenue surplus of £69,394 into Reserves;**
- **(iii)   that the Authority approves the transfer of grants and contributions received with specific conditions or restrictions and monies set aside for contractual commitments into earmarked reserves, as set out in section 4.3 (table 10) of the report;**
- **(iv)   that it is unnecessary to include a note in the Statement of Accounts relating to the remote possibility of a contingent liability, as set out in section 5 of this report.**

1   Introduction

1.1   The Authority is required to set a balanced budget at the start of each financial year and robust budget management and financial control has been maintained throughout the year; which is essential to ensure that priorities are delivered in accordance with the Authority's plans.

1.2   The Audit & Governance Committee has received detailed financial management reports on a quarterly basis and has therefore been kept up to date regarding in-year variances and the forecast outturn.

2   The 2018/19 Financial Outturn

2.1   A summary of the financial outturn as at 31 March 2019 can be found at Appendix 1 with a more detailed cost centre analysis at Appendix 2. After transfers, to and from, reserves for matters approved in-year and at the setting of the budget, the outturn surplus is £69,394. (A surplus of £18,225 was forecast at month 9). A detailed variance analysis of the final outturn against budget is provided at Appendix 3.

2.2   The Authority has once again proved successful in generating additional income; as set out in the following two tables; generating increased external grant income of £185,492 and fees and charges of £199,418 against original budgets.

Table 1: External Grant Income Analysis	£
Public Rights of Way - Devon County Council	(43,000)
Land Management - South West Water - ELMS Project	(27,500)
Education - National Parks Partnerships LLP	(1,363)
Tourism - Discover England Fund (via the Peak District NPA)	(5,750)
Hill Farm Project - Facilitation Fund - Rural Payments Agency	(2,349)
Hill Farm Project - Duchy of Cornwall	(10,000)
Hill Farm Project - Heritage Lottery Fund	(5,881)
Hill Farm Project - Princes Countryside Fund	(22,150)
Hill Farm Project - Farmer Agency training - Foundation for Common Land	(900)
Hill Farm Project - Farmer Agency training - Natural England	(100)
Hill Farm Project - Farmer Agency training - DEFRA	(4,450)
Forward Planning - Ministry of Housing &Local Government - New Burdens, Custom Build, Neighbourhood Planning	(38,687)
Communities Fund - South Hams District Council	(4,032)
Communities Fund - West Devon Borough Council	(5,164)
Dartmoor Headwaters Project - Environment Agency	(18,011)
Archaeology - Historic England - Monument management Scheme and Heritage at Risk Field Advisor Post	(35,193)
Archaeology - Dartmoor Trust - Historic Environment Officer	(4,000)
Archaeology - Historic England - PAL survey	(12,300)
Peatlands Project - Dartmoor Preservation Association	(5,000)
Peatlands Project - Ministry of Defence	(5,000)
Peatlands Project- South West Water	(25,000)
Biodiversity - South West Water - Mires restoration monitoring - bird breeding survey	(6,428)
Biodiversity - South West Water - Invasive Species Project	(5,000)
Conservation Works Team - Heritage Lottery Fund - apprenticeships	(9,226)
Postbridge Visitor Centre Interpretation Project - Heritage Lottery Fund	(10,339)
Discovering Dartmoor's Wild Stories - Heritage Lottery Fund	(13,378)
Corporate & Democratic Core - Police & Crime Commissioner Rural Crime Partnership	(5,000)
Total Grant Income	**(325,201)**

In 2017/18 external grant income was £188,809

Table 2: Fees & Charges, Sales and other Income		£
Land Management	Filming on DNPA land and officer support	(14,975)
	Other income: wayleaves, HLS etc	(4,034)
Hill Farm project	Advertising	(240)
	Donations	(500)
	Course Fees	(4,140)
	Membership	(1,883)
Archaeology	SHINE	(5,000)
	Walks / talks	(160)
	Course fees	(366)

Built Environment	Historic Farm Buildings advice	(17,600)
Uppacott	Events & donations	(1,866)
Visitor management	Vending licences	(19,799)
	Car park charges	(71,977)
	Donations	(3,579)
Public Rights of Way	Public path order notice	(550)
Sustainable Tourism	Ranger experiences	(1,750)
Conservation Works	Recharges for external works	(1,084)
Rangers	Insurance claim	(3,974)
	Road fund licence refund	(2,190)
	Recharges for private mileage	(453)
Visitor Centres	Sales	(191,590)
	Gallery sales commission / other	(1,263)
Communications	Enjoy Dartmoor advertising	(22,476)
	Signboards advertising	(3,203)
Education	Junior Rangers	(1,325)
	Ranger Ralph	(1,038)
	Guided walks	(500)
	Donations	(67)
	Education walks	(3,165)
	Events	(772)
Development Management	Planning fees	(247,519)
	Search fees	(138)
	Non material amendments	(3,556)
	Discharge of conditions	(6,712)
	Pre-application advice	(8,996)
	Viability Assessments recharged to applicants	(20,000)
Corporate & Democratic Core	Investment income	(23,505)
	Donate for Dartmoor	(22,084)
Information Technology	Recharges for external works	(2,937)
Central running costs	Refund of postage	(4,130)
Human Resources	Cycle scheme	(1,614)
Premises	Room booking, recharges & rent	(8,095)
	Renewable Heating Incentive	(17,753)
Other		(1,078)
Total Other income		**(749,636)**

In 2017/18 fees, charges, sales and other income was £749,453

2.3 The Authority is now in the last year of the five year, £3.8m, 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 has generated £ 288,326 of Heritage Lottery Fund Grant in this financial year. Members are kept informed of the Scheme progress, the financial implications and the associated risks via reports to the Audit and Governance Committee and an annual report to the Authority.

2.4 Staff turnover (in-year) has resulted in a total salary budget saving of £50,809. This is not an ongoing saving but a result of delays in recruiting. It should be noted that additional capacity has been brought in during the year and recruitment has taken place in a timely manner.

2.5　The Authority's expenditure budgets are robustly monitored through-out the year; efficiency savings are encouraged and welcomed; the budget and spending plans are anticipated to be flexible and agile, reflecting the way we work. Significant expenditure variations are listed in table 3 below (more detail can be found at Appendix 3).

Table 3 :Expenditure budget - main variations	Under spend £	Over spend £
Travel & Transport: minor variations across all services and increased costs in respect of NPO and Member travel to ever increasing requirement to attend meetings in London or further afield (due primarily to the Glover review of National Parks and Brexit). Increased fuel and repair and maintenance costs; aging vehicle fleet.		20,886
Premises: Some maintenance and repairs deferred and a carry forward request made. Additional costs associated with the re-negotiation of the Parke lease and repairs at Visitor Centres and WCs.	(18,350)	£30,667
Biodiversity underspends: training, external support, fencing at Dendles. The invasives project has been re-scoped and additional income received - request for carry forward made.	(22,300)	
Land Management underspends: Whole farm business plans and works on DNPA land. The Farming Year film project is in progress - request for carry forward made.	(18,533)	
Archaeology underspends: Bellever excavation publication deferred, Wigford PAL survey costs being met in partnership, events.	(9,128)	
Visitor Management underspends: car parking repairs - request for carry forward made, recreation management plans not completed. Budget savings: running costs of WCs, litter removal and toilet grants.	(67,128)	
Access & Recreation underspends: erosion works - request to carry forward made; expired access agreements not yet renegotiated, training.	(22,602)	
Public Rights of Way underspends: Prow digital survey IT system - request to carry forward made & will cost less than original budget.	(9,960)	
Sustainable Tourism overspend: final contribution to Discover England Project (rather than from reserves).		8,900
Visitor Centres underspends: Stock purchase (and year-end balance sheet adjustment) training and interpretation.	(19,818)	

Postbridge Visitor Centre Interpretation Project - a Moor than meets the eye project part funded from reserves and the Heritage Lottery Fund. Reserves not required.	67,869	
Postbridge Visitor Centre – Extension (build) project - architect, project management fees etc, to be funded from reserves, not required. Capital funding bid submitted for the build.	61,316	
Education underspends: training, guides, events, naturally healthy project.	(5,486)	
Communications underspends: Interpretation, PR & promotion. Request to carry forward made for the customer relationship management system.	(16,202)	
Development Management overspends: Housing viability assessments, external advice and support relating to appeals and enforcement cases.		33,771
Forward Planning: Contribution to Connecting Devon & Somerset Broadband project. Local plan review project commitments and Communities Fund Balance to be carried forward.	65,000	(30,904) (50,549)
Corporate & Democratic Core overspends - Members expenses and increased contribution to National Parks England.	3,606	
Support Services and Operational Running costs: Data Communications/IT/Phones planned switch to new provider delayed, external property related support. Savings: postage, stationery, training, IT & HR running costs	(6,458)	11,271

Note: *Requests for budget/income carry forwards can be found in table 10*

2.6 A Project Fund (unallocated) budget of £122,025 was approved by the Authority at the start of the year. In-year allocations from the Fund are set out in table 4 below. Some allocations have not yet been fully spent and are therefore included in the carry forward requests set out in section 4.4 of this report (table 10).

Table 4: Project Fund	£
Opening Balance	**122,025**
Dartmoor Research Day	(1,000)
Dartmoor Society Grant	(500)
Devon Biodiversity Record Centre	(2,500)
Dartmeet Car Park Grant	(10,000)
LED Lighting (Parke)	(8,883)
Backfilling Historic Buildings Officer post*	(36,750)
Mobile App for Asset Management	(7,000)
Procurement Service Level Agreement with Devon CC	(4,500)
Radon works at Princetown offices	(1,650)

Postbridge Store repairs	(3,048)
Bleep stock control system upgrade	(5,505)
Grant funding for Dartmoor Farmers Association	(2,000)
Mobile phones (Rangers)	(3,990)
Sponsorship: DPA National Parks Conference	(1,000)
Public Rights of Way improvements	(5,000)
Car park maintenance*	(8,000)
Telephone hardware at Visitor Centres	(566)
Balance remaining	**20,133**

*Items subject to carry forward requests

2.7 The Authority has submitted a funding bid application to the Rural Development Programme England (RDPE) to fund an extension to the Postbridge Visitor Centre (NPA/18/017 and NPA19/009). Revenue costs (architect and other professional fees) incurred at year end of £61,316 will be met from the in-year revenue surplus. Commitments of outstanding will be met from the earmarked reserve set aside to fund this project.

2.8 The Postbridge Visitor Centre interpretation project, which is part of the Moor than meets the eye scheme is currently in progress and costs incurred at year end are £67,869 less HLF grant income of £10,340, which will be met from the in-year revenue surplus. Commitments outstanding will be met from the earmarked reserve set aside to fund this project

2.9 In 2016 we launched the Donate for Dartmoor campaign. Table 5 below shows donations received each year and how those donations have been spent or are being allocated (in 2019/20).

Table 5: Donate for Dartmoor	£
2016/17 Donations and Mend our Mountains	**(19,994)**
Nuns Cross Path and new footbridge across the River Teign on the Two Moors Way in 2016/17 & 2017/18	19,994
2017/18 Donations	**(18,295)**
Buckfastleigh Path project in 2018/19	15,000
Southern damselfly monitoring project in 2018/19	1,500
2018/19 Donations	**(22,084)**
Amicombe path repairs in 2018/19	5,000
Southern damselfly monitoring project in 2019/20	2,000
Survey and repair of Historic features in 2019/20	5,550
Path Network improvements in 2019/20	11,329
Balance	**0**

2.10 In 2018 we introduced car parking charges as at Haytor, Postbridge and Meldon (at Princetown in 2013). The charges replace the previous system of voluntary donations and we have promoted it as 'pay and conserve/pay and enjoy' rather than 'pay and display'. Income from the car park charges is used to fund car park maintenance and conservation projects. In the past voluntary donations received at these car parks averaged circa £13-14,000 per annum. In table 6 a car parking (charging) income and expenditure reconciliation for 2018/19 is set out.

Table 6: Car Parking	2018/19 Income
Pay & Conserve Ticket Income	**£**
Princetown	(24,355)
Meldon	(10,364)
Haytor Lower	(14,008)
Haytor Top	(8,232)
Postbridge	(15,018)
Total Income	*(71,977)*

Installation & running costs	28,725
Banking	1,049
Maintenance	55,994
*Total Expenditure**	*85,768*

*Does not include any officer time

Net Deficit	**13,791**

The Medium Term Financial Plan includes commitments for further maintenance at five car parks, at an estimated cost of £218,940.

2.11 Donations made by the public in the money cairns across the Moor are:

Table 7: Donations	£
Coombestone car park	(545)
Haytor (prior to charging)	(647)
Meldon car park (prior to charging)	(367)
Postbridge car park (prior to charging)	(997)
Venford car park	(525)
Total	**(3,081)**

3 Capital Programme and Prudential Indicators

3.1 The Authority did not set a formal capital programme at the start of the year. However the opportunity to purchase a second hand Land Rover Defender was taken at a cost of £25,750 which will be funded from the in-year surplus rather than earmarked reserves, thus retaining the vehicle sinking fund reserve for future years.

3.2 As the Authority has no external borrowing, the other prudential indicators do not apply.

4 Reserve Balances

4.1 The level of reserve balances held is determined by our on-going work programmes and projects and by using a risk based analysis and methodology as set out at Appendix 5. Reserve funding is allocated or matched with expenditure according to project / programme requirements, but it should be noted that some projects straddle more than one financial year, or are dependent on partnerships where timing of spend is uncertain. This often results in carry forwards from year to year(s).

4.2 The net transfer to Reserves as at 31 March is £31,215 i.e. our reserves balances will be increased by this much. A summary of the total opening and closing Reserve Balances is set out in table 8 below, with a more detailed analysis set out in Appendix 4 and in tables 9 and 10.

Table 8: Earmarked Reserve Balances	£
1 April Opening Balance	(2,252,350)
Reserves used in year (table 9)	372,975
Transfer to the General Unallocated Reserve (NPA/19/006)	50,000
Transfers to reserves at year-end for specific purposes (table 10)	(404,190)
Total Reserves at 31 March	**(2,233,565)**

General Unallocated Reserve	**(500,000)**

4.3 The General (unallocated) Reserve will be maintained at £500,000 as previously approved by the Authority in March 2019 (NPA/19/006) as set out above.

4.4 Full details of the transfers from and to Earmarked Reserves are set out in in the tables below:

Table 9: Transfers and brought forward balances from Earmarked Reserves	£
Discover England Fund Grant	7,500
Moor Otters Income - Erosion works	20,000
Donate for Dartmoor Income - Buckfastleigh Path repairs	15,000
Moor Otters Income - Junior Ranger Programme	10,000
Moor Otters Income - Invasive Species removal Project	10,000
Donate for Dartmoor Income- Southern Damselfly Project	1,500
All Moor Butterflies Project - Commitment	5,000
Farming Year Films - Commitment	20,000
Common Cause - Commitment	8,000
Project Fund - staff salaries	49,458
Greater Dartmoor Leaf - Commitment	6,900
Local Plan Review Programme - Commitment	42,344
Car parking machines and signage - Commitment	15,745
Historic England Grant Income - Upper Erme survey	9,000
Historic England Grant Income - Adopt a Monument Scheme	4,500

Interpretation Boards - Commitment	3,323
Higher Uppacott cottage roof - Commitment	11,000
Communities Fund Income - cash balance	64,863
Local Plan Review - contracts in progress	33,360
SWEEP - contribution to Exeter University	10,000
MoD Grant Income - Kitty Tor/Rattlebrook track repairs	5,000
Countryside Access Management System - Commitment	3,558
Dartmoor Hill Farm project Income - yearend balance	16,924
Total	**372,975**

Table 10: Transfers and carry forward balances to Earmarked Reserves	£
Invasive Species removal Project - Moor Otters Income	(8,000)
Invasive species removal Project - South West Water Income	(5,000)
Farming Year Films - work in progress	(10,000)
Environmental Land Management Scheme - South West Water Income	(27,500)
Hill Farm Project - year end balance (income)	(8,957)
Dartmoor Headwaters Project - year end balance (income)	(1,524)
Peatlands Project -year end balance (income)	(4,477)
Visitor Centres - shelving order	(1,354)
PAL Scheme Grant Income - Historic England	(9,891)
Monument Management Scheme Grant Income - Historic England	(7,781)
Adopt a Monument Scheme Grant Income - Historic England	(252)
Historic Farm Buildings Grant Scheme - project fund allocation to fund salary	(14,392)
Uppacott cottage roof - commitment	(10,000)
Pork Hill Car Park resurfacing - commitment	35,000
Other car park repairs - work in progress	(15,340)
Discover England Experience event income	(750)
Erosion works - Moor Otters Income	(10,000)
Public Rights of Way - Digital survey IT system (in progress)	(6,549)
Volunteer prize money - income	(1,000)
Local Plan Review - commitment	(30,904)
Customer Relationship Management IT system - in progress	(10,000)
Communities Fund (cash) Balance	(50,429)
Neighbourhood Planning Grant Income - MH&LG	(5,000)
Custom Build & New Burdens Grant Income - MH&LG	(33,687)
Discovering Dartmoor's Wild Stories - Heritage Lottery Fund Grant	(4,925)

Income	
Donate for Dartmoor cash balance - allocated to 2019/20 projects	(17,084)
Rural Crime Partnership Grant Income - Police & Crime Commissioner	(5,000)
Revenue Outturn Surplus	(69,394)
Total	**(404,190)**

5 Contingent Liability – Historical Management Agreement Payments

5.1 Members will recall that in previous years (from 2006 to 2012) we had included a contingent liability disclosure note in the Statement of Accounts relating to the possible repayment of historical management agreement payments; totaling £1.2m, which had been made by the Authority between the 1980s and 2007. These payments were subsequently identified as falling within the EU definition of state aid for farming support. This resulted in the inclusion of an Emphasis of Matter being reported by the auditors in their audit opinion every year since 2006.

5.2 In 2012/13, Grant Thornton (GT), who took over the external audit function from the Audit Commission, referred this matter to their technical team and invited the Authority to consider this matter each year in order to ascertain whether:

- A contingent liability should be disclosed – as the disclosure should not be made if the possibility of transfer in settlement is remote
- Whether there is a need for the inclusion of the emphasis of matter – as a disclosure would not be required if the likelihood of repayment remains remote

5.3 Members concurred with the GT Auditors and considered their approach to be sensible, pragmatic and very welcome. Members concluded that the note should be removed from the 2013/14accounts.

5.4 This matter has been reconsidered each year by Management and for the 2018/19 accounts has come to the following conclusions:

- No further progress has been made in respect of the retrospective approval from the EU and it is becoming increasingly unlikely that it will be scheduled to be heard (Defra sources)
- The possibility of a transfer in settlement remains remote
- As more times passes the likelihood of the Authority having to make any repayment is increasingly remote
- A contingent liability note in respect of this issue should not be included in the 2018/19 accounts

5.5 Members are invited to give this issue due consideration and make recommendation as to whether a contingent liability note is required.

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 outturn surplus of £69,394 represents a minus 1.69% variance against the 2018/19 budget (£78,605 and a minus 1.97% variance in 2016/17). Prudent financial management means that we will not have to call on reserves for key projects. This effectively means that we are able to maintain the Match Funding and Invest to Save Reserves to take advantage of future opportunities and new projects.

7.2 Considering the Authority's ambitious and often diverse work programme and the record of achievement and performance reported elsewhere on this agenda, 2018/19 has once again been one of sound financial management. There has been some slippage in programmed work, and this has been reported during the year via the Budget Management reports and the Business Plan Monitoring Reports.

7.3 Once again the Authority has experienced financial success; absorbing additional costs in year rather than using reserves and therefore maintaining financial resilience, by:

- Generating income from sales, fees and charges, sponsorship, donations and treasury
- Robust cost control and efforts to seek out the best price and value for money
- Proactively seeking and achieving efficiency savings wherever possible
- Continued success at levering in external grant income by working in partnership with others

7.4 The Authority continues to maintain a robust financial position; and is demonstrating a proactive approach to building stronger partnerships, generating new income streams and financial resilience and agility. We are well placed to continue to deliver good outcomes for Dartmoor and to support and deliver against the Government's "8-Point Plan for England's National Parks" and the 25 Year Environment Plan.

DONNA HEALY

Background Papers
NPA/AG/18/012 - Financial Management 1April to 30 September 2018
NPA/AG/19/001 - Financial Management 1 April to 31 December 2018
NPA/AG/18/005 - Financial Outturn 2017/18
NPA/18/008 – 2018/19 Net Revenue Budget, Medium Term Financial Plan & Capital Budget
NPA/18/009 – 2018/19 Treasury Management & Investment Strategy

Attachments: **Appendix 1** **2018/19 Financial Outturn Summary**
Appendix 2 **2018/19 Financial Outturn detail by cost centre**
Appendix 3 **2018/19 Outturn Variances**
Appendix 4 **Reserve Balances**
Appendix 5 **Risk Based Analysis of Reserve Balances**

20190524 DH 2018-19 Outturn

2018/19 Outturn Summary Report　　　　　　　　　　　**Appendix 1 to Report No. NPA/AG/19/005**

Functional Strategy	2018/19 Original Budget £	2018/19 Budget Variation/ Virement £	2018/19 Revised Budget	2018/19 Outturn	2018/19 Year End Deficit/ (Surplus) £	Variance % against Budget
Biodiversity	123,688	2,500	126,188	102,166	(24,022)	-19.04%
Land Management	86,567	2,000	88,567	27,773	(60,794)	-68.64%
Woodlands	47,072	0	47,072	40,687	(6,385)	-13.56%
Hill Farm Project(s)	15,649	0	15,649	20,871	5,222	33.37%
Dartmoor Headwaters Project (externally funded)	0	0	0	(1,524)	(1,524)	
Peatlands Project (funded via reserves)	0	0	0	(4,477)	(4,477)	
Natural Environment	**272,976**	**4,500**	**277,476**	**185,496**	**(91,980)**	
Archaeology	90,337	14,000	104,337	85,532	(18,805)	-18.02%
Built Environment	40,272	36,750	77,022	33,467	(43,555)	-56.55%
Higher Uppacott	20,244	11,000	31,244	16,661	(14,583)	-46.67%
Cultural Heritage	**150,853**	**61,750**	**212,603**	**135,660**	**(76,943)**	
Visitor Management	136,822	41,745	178,567	72,634	(105,933)	-59.32%
Access and Recreation	117,260	0	117,260	90,844	(26,416)	-22.53%
Public Rights of Way	138,098	13,558	151,656	137,712	(13,944)	-9.19%
Sustainable Transport & Tourism	28,644	0	28,644	28,619	(25)	-0.09%
Recreation Management, Traffic & Transport	**420,824**	**55,303**	**476,127**	**329,809**	**(146,318)**	
Visitor Centres	199,908	9,395	209,303	168,305	(40,998)	-19.59%
Postbridge Visitor Centre Interpretation Project	0	0	0	57,529	57,529	
Postbridge Visitor Centre Extension Project	0	0	0	61,316	61,316	
Discovering Dartmoor's Wild Stories	0	0	0	(4,925)	(4,925)	
Communications	191,979	0	191,979	199,491	7,512	3.91%
Naturally Healthy Dartmoor Project	2,500	0	2,500	1,065	(1,435)	-57.40%
Education	141,662	0	141,662	132,564	(9,098)	-6.42%
Education, Information & Communication	**536,049**	**9,395**	**545,444**	**615,345**	**69,901**	
Rangers	**444,010**	**7,038**	**451,048**	**440,515**	**(10,533)**	**-2.34%**
Conservation Works Service	**266,636**	**0**	**266,636**	**252,822**	**(13,814)**	**-5.18%**
Development Management	**328,701**	**0**	**328,701**	**258,376**	**(70,325)**	**-21.39%**
Forward Planning & Community	**287,663**	**72,728**	**360,391**	**308,819**	**(51,572)**	**-14.31%**
Corporate and Democratic Core	**304,158**	**5,500**	**309,658**	**296,958**	**(12,700)**	**-4.10%**
Information Technology	184,375	0	184,375	166,686	(17,689)	-9.59%
Central Operating Costs	120,252	0	120,252	124,995	4,743	3.94%
Finance & Administration	176,049	0	176,049	180,063	4,014	2.28%
Legal Services	81,960	0	81,960	81,286	(674)	-0.82%
Human Resources	157,888	0	157,888	157,835	(53)	-0.03%
Office Accommodation (Parke)	106,255	8,883	115,138	134,513	19,375	16.83%
Office Accommodation (Princetown)	31,695	1,650	33,345	35,030	1,685	5.05%
Business Support	**858,474**	**10,533**	**869,007**	**880,408**	**11,401**	
Project Fund	122,025	(101,892)	20,133		(20,133)	
Capital Expenditure				25,750	25,750	
Total Net Expenditure	**3,992,369**	**124,855**	**4,117,224**	**3,729,958**	**(387,266)**	

Funded By:	£		£	£	£	
National Park Grant	(3,761,173)	0	(3,761,173)	(3,761,173)	0	
Transfers from Reserves in original Budget	(231,196)	35,494	(195,702)	(195,702)	0	
Transfers from Reserves in-year	0	(160,349)	(160,349)	(177,273)	(16,924)	
Transfers to Reserves requested at year-end	0	0	0	334,796	334,796	
Total	**(3,992,369)**	**(124,855)**	**(4,117,224)**	**(3,799,352)**	**317,872**	

Net Budget Surplus	**0**	**0**	**0**	**(69,394)**	**(69,394)**	**-1.69%**

2018/19 OUTTURN	Salaries	Travel Subsistence & Transport	Premises	Supplies & Services	GROSS EXPENDITURE	Grants	Treasury	Fees Charges & Rents	Sales	INCOME	NET EXPENDITURE
	£	£	£	£	£	£	£	£	£	£	£
Biodiversity	75,320	1,256		37,018	113,594	(11,428)				(11,428)	102,166
Land Management	44,207	601		29,474	74,282	(27,500)		(19,009)		(46,509)	27,773
Woodlands	39,835	136		972	40,943			(256)		(256)	40,687
Dartmoor Hill Farm Project(s)	44,968	3,048		25,448	73,464	(45,830)		(6,763)		(52,593)	20,871
Dartmoor Headwaters Project	15,595	492		400	16,487	(18,011)				(18,011)	(1,524)
Peatlands Project	28,499	620		1,404	30,523	(35,000)				(35,000)	(4,477)
NATURAL ENVIRONMENT	**248,424**	**6,153**	**0**	**94,716**	**349,293**	**(137,769)**	**0**	**(26,028)**	**0**	**(163,797)**	**185,496**
Archaeology	116,936	2,113		23,502	142,551	(51,493)		(5,526)		(57,019)	85,532
Built Environment	47,842	640		2,585	51,067			(17,600)		(17,600)	33,467
Higher Uppacott		577	17,950		18,527			(1,866)		(1,866)	16,661
CULTURAL HERITAGE	**164,778**	**3,330**	**17,950**	**26,087**	**212,145**	**(51,493)**	**0**	**(24,992)**	**0**	**(76,485)**	**135,660**
Visitor Management	60,816	6,946	12,912	87,287	167,961			(95,327)		(95,327)	72,634
Access & Recreation	60,577	1,224		29,043	90,844				0	0	90,844
Public Rights of Way	95,381			85,881	181,262	(43,000)		(550)		(43,550)	137,712
Sustainable Transport & Tourism	9,089	850		26,180	36,119	(5,750)		(1,750)		(7,500)	28,619
RECREATION MANAGEMENT	**225,863**	**9,020**	**12,912**	**228,391**	**476,186**	**(48,750)**	**0**	**(97,627)**	**0**	**(146,377)**	**329,809**
Visitor Centres	204,435	1,980	15,058	139,685	361,158			(1,263)	(191,590)	(192,853)	168,305
Postbridge Visitor Centre Interpretation Project				67,868	67,868	(10,339)				(10,339)	57,529
Postbridge Visitor Centre Extension Project				61,316	61,316					0	61,316
Discovering Dartmoor's Wild Stories			962	7,491	8,453	(13,378)				(13,378)	(4,925)
Communications	179,327	2,056		43,787	225,170			(25,679)		(25,679)	199,491
Naturally Healthy Dartmoor Project				1,065	1,065					0	1,065
Education	115,903	3,876		21,015	140,794	(1,363)		(6,867)		(8,230)	132,564
PROMOTING UNDERSTANDING	**499,665**	**7,912**	**16,020**	**342,227**	**865,824**	**(25,080)**	**0**	**(33,809)**	**(191,590)**	**(250,479)**	**615,345**
Rangers	371,319	45,221	6,197	24,395	447,132			(6,617)		(6,617)	440,515
Conservation Works Service	212,691	22,464	10,863	17,114	263,132	(9,226)		(1,084)		(10,310)	252,822
RANGERS, ESTATES & VOLUNTEERS	**584,010**	**67,685**	**17,060**	**41,509**	**710,264**	**(9,226)**	**0**	**(7,701)**	**0**	**(16,927)**	**693,337**
Development Management	438,933	4,278		102,086	545,297			(286,921)		(286,921)	258,376
DEVELOPMENT MANAGEMENT	**438,933**	**4,278**	**0**	**102,086**	**545,297**	**0**	**0**	**(286,921)**	**0**	**(286,921)**	**258,376**
Forward Planning & Community	181,939	1,153		173,610	356,702	(47,883)				(47,883)	308,819
FORWARD PLANNING & COMMUNITY	**181,939**	**1,153**	**0**	**173,610**	**356,702**	**(47,883)**	**0**	**0**	**0**	**(47,883)**	**308,819**
Corporate & Democratic Core	211,324	9,090		127,133	347,547	(5,000)	(23,505)	(22,084)		(50,589)	296,958
CORPORATE & DEMOCRATIC CORE	**211,324**	**9,090**	**0**	**127,133**	**347,547**	**(5,000)**	**(23,505)**	**(22,084)**	**0**	**(50,589)**	**296,958**
Information Technology	129,809	1,939		37,875	169,623			(2,937)		(2,937)	166,686
Central Operating Costs		7,061		122,064	129,125			(4,130)		(4,130)	124,995
Finance & Administration	170,443			9,620	180,063				0	0	180,063
Legal Services	15,773			66,363	82,136			(850)		(850)	81,286
Human Resources	112,715	874		45,860	159,449			(1,614)		(1,614)	157,835
Office Accommodation (Parke)	13,647		125,440		139,087			(4,574)		(4,574)	134,513
Office Accommodation (Princetown)	275		56,029		56,304				(21,274)	(21,274)	35,030
SUPPORT SERVICES	**442,662**	**9,874**	**181,469**	**281,782**	**915,787**	**0**	**0**	**(14,105)**	**(21,274)**	**(35,379)**	**880,408**
Capital Expenditure					0					25,750	25,750
NET EXPENDITURE	**2,997,598**	**118,495**	**245,411**	**1,417,541**	**4,779,045**	**(325,201)**	**(23,505)**	**(513,267)**	**(212,864)**	**(1,049,087)**	**3,729,958**

FUNDED BY:	£
National Park Grant	(3,761,173)
Transfers From Reserves	(372,975)
Transfers to Reserves	334,796
NET BUDGET SURPLUS	**(69,394)**

2018/19 VARIANCE ANALYSIS	Salaries £	Travel & Transport £	Premises £	Supplies & Services £	Expenditure Overspend (Underspend) £	Grants £	Sales Fees & Charges £	Income Deficit (Surplus) £	Total Variance Deficit (Surplus) £	Explanation
Biodiversity	50	656		(22,300)	(21,594)	(2,428)		(2,428)	(24,022)	Underspends: fencing not done, training, species survey & consultancy support. Carry forwards: Invasives project (Moor Otters) and income from SWW
Land Management	78	101		(18,533)	(18,354)	(27,500)	(14,940)	(42,440)	(60,794)	Filming income. Whole farm business plans not achieved, lack of capacity & Brexit implications. C/fwd Farming film in progress. Grant from SWW towards ELMS c/fwd
Woodlands	(36)	(2,064)		(4,029)	(6,129)		(256)	(256)	(6,385)	Mileage savings, staff using pool car. No storm damage works or fencing required this year
Hill Farm Project(s)	(4,532)	3,048		25,447	23,963	(11,978)	(6,763)	(18,741)	5,222	Partnership project that results in brought forward and carry forward balances at year end
Dartmoor Headwaters Project	15,594	493		400	16,487	(18,011)		(18,011)	(1,524)	Externally funded - carry forward balance
Peatlands Project	28,499	620		1,404	30,523	(35,000)		(35,000)	(4,477)	Partnership - carry forward balance
NATURAL ENVIRONMENT	39,653	2,854	0	(17,611)	24,896	(94,917)	(21,959)	(116,876)	(91,980)	
Archaeology	167	(487)		(9,128)	(9,448)	(6,831)	(2,526)	(9,357)	(18,805)	Bellever Excavation publication costs deferred to 2019/20. Wigford PAL survey costs being met in partnership. Carry forward PALs & MMS Grant income
Build Environment	(28,780)	240		2,585	(25,955)		(17,600)	(17,600)	(43,555)	Vacancy - post now filled. Project Fund carry forward to manage Historic Farm Buildings Grant Scheme. Income - Historic Farm Buildings advice fees
Higher Uppacott		578	(13,295)		(12,717)		(1,866)	(1,866)	(14,583)	Cottage roof repair to be deferred to 2019 - carry forward
CULTURAL HERITAGE	(28,613)	331	(13,295)	(6,543)	(48,120)	(6,831)	(21,992)	(28,823)	(76,943)	
Visitor Management	(2,374)	759	2,737	(67,128)	(66,006)		(39,927)	(39,927)	(105,933)	Vehicle repairs. New Mobile Vending licence at Haytor. Car parking income. Car park works budget to be c/fwd. Recreation management plans not completed. Budget savings: toilet cleaning and recycling /waste
Access & recreation	(4,238)	424		(22,602)	(26,416)			0	(26,416)	Erosion works funded from Moor Otters to be carried forward. Expired access agreements not re-nogotiated. Underspends: training and visitor schemes
Public Rights of Way	(3,434)			(9,960)	(13,394)		(550)	(550)	(13,944)	Carry forward IT project. Public path order income
Sustainable Tourism & Transport	(1,615)	(56)		8,646	6,975	(5,750)	(1,250)	(7,000)	(25)	Grant income for Ranger experiences. Discover England contribution toward national project.
RECREATION MANAGEMENT	(11,661)	1,127	2,737	(91,044)	(98,841)	(5,750)	(41,727)	(47,477)	(146,318)	
Visitor Centres	(23,214)	81	4,305	(19,818)	(38,646)		(2,352)	(2,352)	(40,998)	In year salary savings and underspends: Training, stock purchases and interpretation
Postbridge Visitor Centre Interpretation Project				67,869	67,869	(10,340)		(10,340)	57,529	Moor than meets the eye project, intended to be funded from earmarked reserves
Postbridge Visitor Centre Extension Project				61,316	61,316			0	61,316	Architect, project management and other feasibility and investigative fees. Intended to be funded from Earmarked Reserves
Discovering Dartmoor's Wild Stories				8,453	8,453	(13,378)		(13,378)	(4,925)	Carry forward external funding balance
Communications	10,886	1,007		(16,202)	(4,309)		11,821	11,821	7,512	New Digital Communications Post funded from ICT savings - restructure. Lack of capacity to deliver some areas of work: website, interpretation, PR & promotion. Advertsining income from Enjoy Dartmoor and Signboards lower than expected
Naturally Healthy Dartmoor				(1,435)	(1,435)			0	(1,435)	
Education	(44)	537		(5,486)	(4,993)	(1,363)	(2,742)	(4,105)	(9,098)	Lack of take up for 1st aid training and recuitment of volunteer guides. Volunteer Award Prize money to be carried forward
PROMOTING UNDERSTANDING	(12,372)	1,625	4,305	94,697	88,255	(25,081)	6,727	(18,354)	69,901	
Rangers	(7,653)	4,497	(101)	(659)	(3,916)		(6,617)	(6,617)	(10,533)	Salary changes after restructure. Replacement trailer covered by Insurance income, refunded road tax, increased vehicle fuel and repair costs
Conservation Works Service	(4,604)	6,516	(5,235)	(181)	(3,504)	(9,226)	(1,084)	(10,310)	(13,814)	HLF income meeting some apprenticeship costs. Depot repairs deferred. Increased vehicles runing & repair costs
RANGERS, ESTATES & VOLUNTEERS	(12,257)	11,013	(5,336)	(840)	(7,420)	(9,226)	(7,701)	(16,927)	(24,347)	
DEVELOPMENT MANAGEMENT	(22,203)	(1,472)		33,771	10,096		(80,421)	(80,421)	(70,325)	Vacancy salary & travel savings. Housing viability assessment costs and enforcement and appeals external support costs. Increased Planning application fee income offsetts reduction in Pre-Application Advice charges, whilst the service was suspended
FORWARD PLANNING	(1,435)	103		(11,553)	(12,885)	(38,687)		(38,687)	(51,572)	Neighbourhood planning, Customs Build & new burdens grants to be carried forward. Local Plan Review commitments and Communities fund balance to be carried forward. Connecting Devon & Somerset Braodband contribution being absorbed (intended to be met from reserves)
CORPORATE & DEMOCRATIC CORE	3,292	4,991		3,606	11,889	(5,000)	(19,589)	(24,589)	(12,700)	Increased costs: S151, NPO Travel, National Parks England, Members Expenses & Independent Member recruitment. Income: Treasury and Donate for Dartmoor. Police & Crime Commisioner (Rural Crime Partnership) grant to carry forward
Information Technology	(11,676)	689		(3,765)	(14,752)		(2,937)	(2,937)	(17,689)	Vacancy savings to be used to fund new IT apprenticeship post and new post in Communications. DPO training deferred. Income: provision of services
Central Operating Costs		(449)		9,247	8,798		(4,055)	(4,055)	4,743	Franking machine refund - change of supplier and other savings (postage, printing & stationery, mobiles) offsetting increased data comms costs (change of supplier delayed) equipment and property related professional fees.
Administration & Finance	4,346	(100)		(232)	4,014			0	4,014	Pay award for staff below scp20 more than 2% & honorariums
Legal Services	43			133	176		(850)	(850)	(674)	
Human Resources	1,620	174		(233)	1,561		(1,614)	(1,614)	(53)	Overtime. Underspends in Training and H&S, offsettingoverspends in Occupational Health & staff support services
Office Accommodation (Parke)	178		23,771		23,949		(4,574)	(4,574)	19,375	New lease back dated to 1/4/17 & dilapidations for WCs. Contribution towards new septic tank. Recharge to Landlord for services provided. Grounds maintenance contract deferred
Office Accommodation (Princetown)	276		135		411		1,274	1,274	1,685	RHI income reduced: warmer winter. Savings: biomass doors, recycling contract and decorating offsetting increased running costs
CORPORATE SERVICES	(5,213)	314	23,906	5,150	24,157	0	(12,756)	(12,756)	11,401	
Project Fund					0			0	(20,133)	Unallocate balance at year-end
Capital Expenditure					0			0	25,750	Second hand Land Rover Defender
Reserve Movements					0			0	317,872	
TOTAL VARIANCE	(50,809)	20,886	12,317	9,633	(7,973)	(185,492)	(199,418)	(384,910)	(69,394)	

GENERAL FUND RESERVE BALANCES

GENERAL FUND RESERVE BALANCES	2018/19 Opening Balance £	2018/19 Transfers Within £	2018/19 Transfers to Revenue in year £	2018/19 Transfers from Revenue at year end £	2018/19 Forecast Closing Balance £	2019/20 Forecast Movements £	2020/21 Forecast Movements £	2021/22 Forecast Movements £	2021/22 Forecast Closing Balance £	Notes
Grants & Contributions with Restrictions										
Hill Farm Project	(16,924)		16,924	(8,957)	(8,957)	8,957			0	Cash balances are carried forward at each year end as allocated to expenditure
English Heritage: White Horse Hill	(20,036)				(20,036)	20,036			0	To fund new Interpretation at Postbridge Visitor Centre
Communities Fund Grant prior years contributions	(64,863)		64,863	(50,429)	(50,429)	50,429			0	Grants Awarde not yet paid out
MH&LG - Neighbourhood Planning Grant	(5,000)			(5,000)	(10,000)				(10,000)	
MH&LG - Unringfenced Grants	(70,980)			(33,687)	(104,667)	10,856			(93,811)	
Donate for Dartmoor Balances	(18,295)		16,500	(17,084)	(18,879)	12,550			(6,329)	Alocated to projects after year-end
Historic England Grant: Upper Erme Survey	(9,000)		9,000		0				0	C/fwd from 2017/18
Historic England Grant: Adopt a Monument	(4,500)		4,500	(252)	(252)	252			0	C/fwd from 2017/18
MoD Grant: Kitty Tor-Rattlebrook track repairs	(5,000)		5,000		0				0	C/fwd from 2017/18
Historic England - PALS Grant	0			(9,891)	(9,891)	7,000	2,891		0	To be used over 3 years
Volunteer Award Prize money	0			(1,000)	(1,000)	1,000			0	C/fwd from 2018/19
Police & Crime Commissioner Grant - Rural Crime Partnership	0			(5,000)	(5,000)	5,000			0	C/fwd from 2018/19
Historic England - Monument Management Scheme	0			(7,781)	(7,781)	7,781			0	C/fwd from 2018/19
South West Water - Peatland Partnership	0			(4,477)	(4,477)	4,477			0	C/fwd from 2018/19
South West Water - Invasives Species project	0			(5,000)	(5,000)	5,000			0	C/fwd from 2018/19
South West water - Environmental Land Management Scheme	0			(27,500)	(27,500)	27,500			0	C/fwd from 2018/19
Enviornment Agency - Dartmoor Headwaters Project	0			(1,524)	(1,524)	1,524			0	C/fwd from 2018/19
Budget Management Fund - Provisions (risk based)										
Employees	(52,000)				(52,000)				(52,000)	*See risk assessment for breakdown*
Costs and Awards: Appeals/Public Enquiries/Litigation	(250,000)				(250,000)				(250,000)	*See risk assessment for breakdown*
Loss of Income and Inflation	(34,500)				(34,500)				(34,500)	*See risk assessment for breakdown*
Invest to Save and / or Generate Projects	(83,733)				(83,733)				(83,733)	
Annual Revenue Outturn	(78,605)	78,605		(69,394)	(69,394)	69,394			0	To be reallocated to the 2020 Public Arts Proect (NPA/19/015)
Capital Expenditure Fund										
Vehicles - Sinking Fund - Replacement	(54,418)	(72,903)			(127,321)	30,000	30,000		(67,321)	Land Rover Defender purchased in 2018/19 to be met from in-year balances
Property - Sinking Fund - Repairs & Maintenance	(200,000)			(10,000)	(210,000)	10,000			(200,000)	*Uppacott Cottage roof C/Fwd from 2018/19*
Known Commitments										
Local Plan Review allocation	(79,500)	(20,845)	42,344	(23,904)	(81,905)	24,500	33,501	23,904	0	Built into the MTFP
Local Plan Review Contracts - work in progress	(33,360)		33,360	(7,000)	(7,000)	7,000			0	C/Fwds at year end
All Moor Butterflies NPA/15/037	(12,500)		5,000		(7,500)	5,000	2,500		0	3 year programme
MIRES PR14	(10,000)	10,000			0				0	
Project Fund allocations in 2016/17 against salaries	(53,995)	4,538	49,457		0				0	Built into MTFP
Farming Year Films	(20,000)		20,000	(10,000)	(10,000)	10,000			0	C/Fwd at year end
NPMP	(16,000)				(16,000)				(16,000)	C/Fwd from 2017/18 to be used as required
Pay and Display Parking	(15,745)		15,745		0				0	C/Fwd from 2017/18
Interpretation Boards	(3,324)		3,324		0				0	C/Fwd from 2017/18
SWEEP	(10,000)		10,000		0				0	C/Fwd from 2017/18
CAMS Web & Hosting	(3,558)		3,558		0				0	C/Fwd from 2017/18
Historic Buildings planning support	(605)	605			0				0	C/Fwd from 2017/18
Higher Uppacott	(11,000)		11,000		0				0	C/Fwd from 2017/18
Car park repairs	0			(50,340)	(50,340)	50,340			0	C/Fwd from 2018/19
Customer Relationship Manager IT system	0			(10,000)	(10,000)	10,000			0	C/Fwd from 2018/19
PRoW IT system	0			(6,549)	(6,549)	6,549			0	C/Fwd from 2018/19
Visitor Centre shelving	0			(1,354)	(1,354)	1,354			0	C/Fwd from 2018/19
Historic Farm Buildings Grant Scheme Support (Project Fund 2018/19)	0			(14,392)	(14,392)					C/Fwd from 2018/19
Match Funding Reserve										
Moor Than Meets the Eye match funding	(100,000)				(100,000)	100,000			0	Includes Postbridge VC Interpretation Project
Moor than Meets the Eye - Cash Flow	(300,000)				(300,000)				(300,000)	Based on project cash flow - retention and final claim in year 5
Superfast Broadband - connecting Dartmoor & Exmoor	(65,000)	65,000			0				0	Approved in 2015/16, paid in 2018/19 from revenue surplus
Greater Dartmoor LEAF 2015-2020	(20,700)		6,900		(13,800)	6,900	6,900		0	NPA/14/038 for 6 years 2015-2020
Discovering Dartmoor's Wild Stories	(17,363)			(4,925)	(22,288)	22,288			0	Match against HLF Funding - ends 2019
National Parks Partnerships LLP	(10,000)	10,000			0				0	2018/19 cost
Moor Otters	(60,000)		40,000	(18,000)	(38,000)	38,000			0	Project Surplus to be allocated to 3 projects in 2018/19 & 2019/20
Discover England Fund - Make Great Memories	(16,400)	8,900	7,500	(750)	(750)	750			0	NPA18/003 all contributions paid from within revenue budget
Common Cause	(8,000)		8,000		0				0	Met within Revenue Budget
SW Peatland Partnership	(150,000)				(150,000)	75,000	75,000		0	NPA17/041 - 3 year project
Postbridge Visitor Centre - Extension Building Project	(140,000)				(140,000)	99,062	120,000		(40,938)	NPA18/017 - will be spread over 2 years
Public Arts Project 2020	0				0	(120,000)	120,000			NPA/19/015
Unallocated fund balance	(127,446)	(33,900)			(161,346)	50,606			(110,740)	
Total Earmarked Reserves	**(2,252,350)**	**50,000**	**372,975**	**(404,190)**	**(2,233,565)**	**659,105**	**270,792**	**23,904**	**(1,265,372)**	
General Reserve (unallocated emergency reserve)	**(450,000)**	**(50,000)**		**0**	**(500,000)**				**(500,000)**	
Total General Fund Balance	**(2,702,350)**	**0**	**372,975**	**(404,190)**	**(2,733,565)**	**659,105**	**270,792**	**23,904**	**(1,765,372)**	

2018/19 RESERVES: RISK BASED ANALYSIS	Risk Level	Rate	2018/19 Forecast Closing Balance £'000
Grants & Contributions with Restrictions carried forward:			
Grants & Contributions with Restrictions	N/A	Actual	(275)
Employees:			
Maternity / Paternity Cover / Pay Awards	Low	Est.	(52)
Costs & Awards:			
Appeals / Public Enquiries / Litigation	High	Est.	(250)
Loss of Income and / or Price Increases:			
Reduced Sales, Fees & Charges or Inflation cost	Medium	Est	(35)
Capital - Property:			
Repairs & maintenance (sinking fund)	Medium	Est.	(210)
Capital - Vehicles			
Provision for future replacement of vehicles (sinking fund)	N/A	Est.	(127)
Known Commitments/Contracts			
Local Plan Review	N/A	Est. & Actual	(89)
All Moor Butterflies	N/A	Actual	(8)
Farming Year Films	N/A	Actual	(10)
National Park Management Plan	N/A	Actual	(16)
Car Park repairs	N/A	Actual	(50)
Customer Relationship Manager IT system	N/A	Actual	(10)
Public Rights of Way IT system	N/A	Actual	(7)
Visitor Centre shelving	N/A	Actual	(1)
Historic Farm Buildings Grant Scheme Support	N/A	Actual	(14)
Match Funding Reserve			
Postbridge Visitor Centre Interpretation	N/A	Actual	(100)
Moor than Meets the Eye - Cash Flow	N/A	Actual	(300)
Greater Dartmoor LEAF 2015-2020	N/A	Actual	(14)
Discovering Dartmoor's Wild Stories	N/A	Actual	(22)
Moor Otters Project Surplus - allocated to projects	N/A	Actual	(38)
Discover England Fund - Make Great Memories	N/A	Actual	(1)
South West Peatland Partnership	N/A	Actual	(150)
Postbridge Visitor Centre - Extension Building Project	N/A	Actual	(140)
Unallocated fund balance	N/A	Actual	(161)
Revenue			
Invest to save and / or Generate Projects	N/A	Actual	(84)
Revenue Outturn Surplus - to be reallocated	N/A	Actual	(69)
General Reserve - Minimum amount to cover unanticipated costs / emergencies	N/A	Actual	(500)
Total Reserve Balance			**(2,733)**

DARTMOOR NATIONAL PARK AUTHORITY

24 May 2019

BUSINESS PLAN MONITORING 2018/19

Report of the Head of Organisational Development

Recommendations : **That Members note the content of the report and comment on performance against the key actions identified in the 2018/19 Business Plan**

1   Purpose of the Report

1.1   This report informs Members of the Authority's performance against the key actions identified in the Business Plan for 2018/19.

1.2   The Authority uses a spreadsheet (traffic light system) to track progress which is reviewed by Leadership Team each quarter. A copy of the Business Plan monitoring spreadsheet for 2018/19 is attached at Appendix 1.

1.3   Members will be aware that whilst this report focuses on key actions the 2018/19 Business Plan also recognised that our core business continues on a daily basis. There have been significant contributions and achievements throughout the year delivered by all services.

2   Performance against key actions

2.1   The Business Plan 2018/19 identifies 28 key actions against the six agreed priorities for the Authority.

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

2.3   Progress against the 28 key actions is summarised in the table below:

Progress	No.	%
Completed/2018/19 actions delivered for ongoing projects	**16**	**57%**
2018/19 actions partially delivered; ongoing actions/projects into 2019/20	**11**	**39%**
Not completed; deferred to 2019/20	**1**	**4%**

Further details against each key action are provided in Appendix 1.

3   Key achievements and progress update

3.1   *Peatland Restoration*
Partnership project delayed (beyond DNPA control); good progress following appointment of Project Officer; excellent example of team working with staff working long hours in sometimes challenging conditions.

Natural Flood Risk Management
Project delayed awaiting funding and service level agreement; addressing public understanding; scoping study to be completed ready for implementation in 2019/20.

Traditional Farm Buildings Grant
Significant delays in processing applications and other delays (beyond DNPA control).

Future of Farming
Defra approved our Environmental Land Management Test and Trial proposal in April 2019 (first submitted June 2018). However, we are still seeking clarification regarding funding.

Review and update a revised Dartmoor Local Plan
Good progress; positive feedback on content, format and clarity of documentation during consultation stages.

4   Equality and Sustainability Impact

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

5   Financial Implications

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

6   Conclusion

6.1   Members will note from this report that the Authority has made very good progress in delivering the key actions identified in the Business Plan for 2018/19.

NEIL WHITE

Background Papers: NPA/18/007, 2018/19 Business Plan

Attachments: Appendix 1 – Business Plan Monitor 2018/19

20180525 NW Business Plan Monitoring 2018/19

			SUSTAIN			

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
1	**Peatland Restoration** - (subject to external funding) deliver the programme of restoration as set out in the bid to Defra for the South West Uplands (November 2017) *Outcomes sought* - restoration and enhancement of 276ha of peatland on Dartmoor	AK	**Milestone:** SLA with SWW completed Project Officer starts Complete Amicombe archaeological survey Compete site restoration plans All consents in place Agree procurement process Agree Comms plan **Actual Progress:** Project Officer started 19 June. Amicombe archaeological survey completed. Site restoration plans started but not completed. Meetings with commoners taken place. Procurement process agreed (SWW to lead). Communication Plan started but not complete. landowner agreement in place, commoners agreements nearing completion. Awaiting SLA from SWW **A**	**Milestone:** Start works at FTP and Amicombe **Actual Progress:** Progress delayed due to the delay in gaining approval from Defra. Site restoration plans have been agreed with Commoners and landowners. Tender process for restoration and works started with anticipated start date in October however on going communications with potential contractors means that start dates will be delayed. Flat Tor Pan going ahead in Dec/Jan. Amicombe progressing with ordnance survey. **A**	**Milestone:** Complete works at FTP **Actual Progress:** Implementation of works at Flat Tor Pan are delayed due to difficulty appointing contractors, however work is now programmed for Feb 2019. Unexploded Ordnance Surveys at 3 sites now underway. Woodland Trust are providing the timber from local woodlands. **A**	**Milestone:** Complete works at Amicombe. Consents in place for Yr 2 sites. **Actual Progress:** Winter works completed by end of March to begin again in October. Both FTP and Amicombe progressed but slower than anticipated due to delays and more challanging conditions than Exmoor (from which outcomes were predicted). Work will continue on both sites in 2019 Q3/4. **A**
2	**Common Cause** - funding secured from Heritage Lottery Fund for two year development phase. This is a partnership initiative led by the Foundation for Common Land. Dartmoor is one of four pilot areas. Development phase will include trialling of local vision process for three commons, public engagement and celebration of 'commoning'. *Outcomes sought* - inclusive approach to local visioning leading to better delivery of public benefits; improved public understanding of commoning to help sustain this form of land management. Contribute to thinking about future environmental land management schemes.	AK	**Milestone:** Project officer starts Desk based surveys complete and Vision process agreed Key stakeholders engaged Plan programme of events **Actual Progress:** Project Officer in post. All three Commons signed up. Key stakeholders engaged. Desk based surveys started. Process for visions is developing **G**	**Milestone:** Liaison with local stakeholders on Vision **Actual Progress:** All three commons now engaged in the project, process of developing the vision has started. Meetings with commoners, landowners and stakeholders planned for early October. Other aspects of the Project at a national level progressing well **G**	**Milestone:** Dartmoor gathering/conference **Actual Progress:** The Dartmoor Gather took place on 4 November. This is the first time that this 'aspect of Dartmoor's unique cultural heritage' has been opened up to the public, and both BBC Spotlight and Radio 4's Farming Today were on hand to record the event. Approximatley 60 people attended and plans are afoot to build on this success. The vision process is well underway and most of the key stakeholders have now shared their ideas. **G**	**Milestone:** Vision process completed. Programme of outreach and engagement activities developed for delivery in 2019/20. **Actual Progress:** Vision process not complete but progressing. Programme of outreach and engagement activities developed. **A**
3	**Natural Flood Risk Management -** (subject to external funding) deliver programme of works on Dartmoor to reduce flood risk (within and beyond the National Park) through natural approaches. Partnership project with the Environment Agency. *Outcomes sought* - test natural approaches to flood management that deliver a range of public benefits in a way that supports the farming/land owning community.	CG	**Milestone:** Secure SLA with EA and recruit project officer. Help develop coms strategy and introduce/consult on project. Assist with development of implementation plans for 5 catchments **Actual Progress:** Recruitment process started, interview in August. Coms underway with partners, planned in Q2 with farmers **A**	**Milestone:** Liaison with landowners around engagement and measures **Actual Progress:** Project Officer appointed and will start in October. SLA finalised with legal and EA. **A**	**Milestone:** Begin capital works **Actual Progress:** Officer has gained understanding of catchment and issues, and met with land managers. Work plans being developed with EA and landowners. Delayed due to late start of project whilst funding and SLA agreed. **A**	**Milestone:** Capital works ongoing **Actual Progress:** Draft catchment plans with options produced. Capital works begun with tree planting scheme. Landowners engaged in two catchments, but Tavy has limited engagement. Still delayed but expected to catch up throughout 2019. **A**
4	**Implement Non-native Invasives Project** - project funded via money raised from Moor Otters to undertake practical work to reduce the spread of non-native species such as Himalayan Balsam and Skunk Cabbage. *Outcomes sought* - catchment approach to reduce the impact of non-native invasive species.	RK	**Milestone:** Develop programme and let contract for coordinator **Actual Progress:** Unable to recruit in time for INNS season. Will develop project for full launch in 2019.Skunk cabbage removal has continued within MTMTE areas. **R**	**Milestone:** Recruit volunteers, identify priorities and begin deliver for balsam **Actual Progress:** Reprofiled project. Survey, targeting and planning to be carried out in Q4 for 2019/20 delivery. Secured additional funding from SWW to support delivery **R**	**Milestone:** No work across autumn/winter **Actual Progress:** Project development complete. Contract to be let in Q4 **G**	**Milestone:** **Actual Progress:** Scoping study complete providing priorities and direction. Contract to be let for delivery in 19/20. Work on skunk cabbage beginning in May to coincide with main project launch. **G**

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
5	**Promote and manage the Traditional Farm Buildings Grant** - capital grant scheme funded via Rural Development Programme for England which will offer capital grants towards the costs of restoring old farm buildings. *Outcomes sought* - protection and enhancement of traditional farm buildings and driver for local economy.	NP	**Milestone:** Secure officer resource. Assess all farmer EOI for eligibility and complete PA1 forms		**Milestone:** Complete PA2 grants for all applicants		**Milestone:** Complete all HE2 applications for applicants		**Milestone:** Complete outstanding/late applications	
			Actual Progress: 42 EOIs received. 23 site visits and total of 49 buildings inspected. 19 PA1 applications submitted to Natural England before 29 June deadline.	G	**Actual Progress:** 12 PA2s submitted, 4 have been approved of which 1 is 'live'. 7 PA1s still awaiting approval by RPA. Concerns about delays processing at Defra end causing concerns about delivery. Awaiting confirmation of delivery extension which is essential to mitigate Defra delays.	R	**Actual Progress:** Extension to feasibility agreed by Defra. 16 of original 19 applications still active. All applicants through PA1 stage and most now liaising with architects for PA2. Professional adviser appointed to cover project following departure of Buidling Conservation Officer.	G	**Actual Progress:** Architects continue to produce plans for applicants. Delivering in phases to match national panel dates. Five submitted in first panel. New Buidling Conservation Officer is shadowing professional adviser to understand/adopt project.	G
6	**Review and update Management Plans** - for the land the Authority owns at Haytor and on Holne Common (Holne work will link with Common Cause project above). *Outcomes sought* - revised Plans produced in partnership with commoners, neighbouring landowners and other stakeholders that provide a clear framework for the future management and enhancement of the Authority's land.	CG	**Milestone:** Engage with Common Cause to develop vision and management plan for Holne		**Milestone:** Develop DNPA objectives and priority outcomes for Holne. Work on Haytor to develop subject to officer capacity.		**Milestone:** Work on Haytor to develop subject to officer capacity		**Milestone:** Work on Haytor to develop subject to officer capacity.	
			Actual Progress: Inception meetings with landowners and commoners held for CC through Tracey May. Review of Haytor MP postponed as FF still has 5 years to run	G	**Actual Progress:** Working through Common Cause to establish vision from which our MP and outcomes will follow. Visioning process currently underway.	G	**Actual Progress:** Common Cause meetings held for Holne and draft vision plans expected in Q4. Haytor postponed for 4 years to tie in with review of AE scheme.	A	**Actual Progress:** Draft visions for Holne produced by landowners and commoners. Will draw together into single vision in May 2019.	A
7	**Environmental Enhancement Programme** - trial a small grants programme for biodiversity; continue the Ancient Boundaries, Modern Farming capital grant scheme funded by the Heritage Lottery Fund and use the Countryside Stewardship Facilitation Fund programme to work with farmers to promote collaborative action for conservation at a landscape and catchment scale, *Outcomes sought* - building capacity and knowledge within the farming community to help deliver enhancement of the environment through practical conservation at a farm and pan-farm or landscape/catchment level.	CG	**Milestone:** Establish farmer group and identify interests/priorities. **Ancient Boundaries:** Sign off and release funds for the 2017 applicants once walls are finished (currently 5 left).		**Milestone:** Run calendar of training/events. Minimum 1 per quarter **Ancient Boundaries:** Open the last round of grants (only 2 spaces available).		**Milestone:** Run min 1 training event per quarter **Ancient Boundaries:** Organise a volunteer/training day for dry stone walling.		**Milestone:** Run min one training event per quarter. **Ancient Boundaries:** Sign off and release funds for most of the remaining applicants from the 2018 rounds (6 in total).	
			Actual Progress: First meeting of Facilitation Fund cluster of farmers taken place to start identifying priorities. Workshops begin in July around CS. Ancient Boundaries: 3 outstanding 1 has been finished and the other 2 are nearly complete.	G	**Actual Progress:** Grant programme earmarked for Curlew recovery but they did not breed this year. Now allocated to Rhos pasture management and butterfly conservation work. **Ancient boundaries** scheme on track, funding to be drawn in from other MTMTE pots/ecology to fund additional works. **Facilitation Fund** Steering group established and met, programme of events organised and 3 events held.	G	**Actual Progress:** 3 events held including soil management and woodland management. Walling group established with aim to be self sustaining.	G	**Actual Progress:** Two **facilitation** events held (hedgerows and fertilisers). CS event planned for Q1. Seven applicants in total will complete **ancient boundaries** works by June, three have completed to date. Small grant programme not progressed.	G
8	**Review the National Park Management Plan** - this is a partnership plan setting out a long term vision for the National Park and strategic actions to deliver that vision. *Outcomes sought* - a Management Plan that is owned and supported by stakeholders, outlines a clear vision for the National Park and provides a framework for partnership working.	KB	**Milestone:** Commission Dartmoor Debate Topic Papers from partners		**Milestone:** Dartmoor Debate workshops/roundtable events held and written up		**Milestone:** Develop vision and structure for new Management Plan		**Milestone:** Consultation on Management Plan Vision and key actions	
			Actual Progress: Topic papers commissioned, workshop held on local economy	G	**Actual Progress:** Dartmoor debates commenced but not completed. Will now run into December with knock-on implications for the overall timetable.	A	**Actual Progress:** Dartmoor Debates completed and written up. Work on vision delayed until Quarter 4 still aim to report back on Dartmoor Debates at the Steering group meeting scheduled for 14 February. Subsequent timetable depends on reactions to draft vision. Members to discuss Management Plan vision and vision for the Authority at Park Management Working Panel in March.	A	**Actual Progress:** Steering Group workshop held and work on draft vision has progressed	G

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
9	**Future of Farming** - programme of work to develop proposals for farm support post Brexit building on our experience of initiatives such as Dartmoor Farming Futures, Dartmoor Hill Farm Project etc. *Outcomes sought* - a policy framework and associated financial support that helps deliver the Vision and Ambition in Your Dartmoor (Dartmoor National Park Management), rewards farmers for the delivery of public goods and supports the wider rural economy.	KB	**Milestone:** Meeting with Defra to discuss pilot proposals. Workshop with environmental NGOs and other NPAs (June) **Actual Progress:** Attended meeting with Defra to discuss pilot and submitted Dartmoor proposal to test and trail new approach. Workshop with environmental NGO's took place in June. **G**	**Milestone:** TBD dependent on outcome from meeting with Defra about pilot proposal **Actual Progress:** No response from Defra to the two proposals submitted but work under key actions 1 - 10 all contribute. Defra advice that feedback will be provided on test and trial proposal at end of November. **G**	**Milestone:** TBD dependent on outcome from meeting with Defra about pilot proposal **Actual Progress:** Informed by Defra (Dec 2018) that we have been selected as one of 49 (out of 113 proposals) 'test and trials' for the new environmental land management scheme. Proforma completed and awaiting more detailed feedback from Defra on our proposal - what they are seeking, timescale and funding. Future milestones to be set once we have received the feedback and agreed the scope of the test and trial but workshop planned for Feb 2019 on how to pay for public benefits. **G**	**Milestone:** TBD dependent on outcome from meeting with Defra about pilot proposal **Actual Progress:** Test and Trials Proposal Development Form submitted to Defra for decision in April 2019. **G**
10	**Dartmoor Hill Farm Project** - continue to support the Hill Farm Project as a delivery vehicle for farmer engagement and development of new projects to support farming on Dartmoor. Specific actions to include implementation of the Resilience Programme and a film of the 'Farming Year on Dartmoor'. *Outcomes sought* - support for Dartmoor farm businesses, enhanced collaboration and greater awareness of the role of farming in delivering public goods (within and beyond the farming community).	CG	**Milestone:** 3 training events delivered . I specialist advisor day on farm. Deliver Resilience programme **Dartmoor Farming Film:** Prepare and advertise Tender **Actual Progress:** Dartmoor Farming Film: tender advertised and interviews take place in early July. Training targets exceeded for HFP and MTMTE heritage skills **G**	**Milestone:** 3 training events delivered . I specialist advisor day on farm. Deliver Resilience programme **Dartmoor Farming Film:** Confirm successful applicant and confirm storyboard/farmers to be filmed **Actual Progress:** 13 training events delivered (target of 4). Resilience to conclude in autumn. **Farming film** contract let and planning scoping of farm/farmers begun. **G**	**Milestone:** 3 training events delivered . I specialist advisor day on farm. Deliver Resilience programme **Dartmoor Farming Film:** Filming to begin - TBC following discussion with successful applicant **Actual Progress:** Training events delivered. Resilience programme stalled due to to illness/resignation. Will be fully delivered in Q4 through contract. **G**	**Milestone:** Three training events delivered . One specialist advisor day on farm. Deliver Resilience programme **Dartmoor Farming Film:** Filming to continue **Actual Progress: HFP -** 11 events plus one contributor events for 126 people. One specialist event on hedgerows. **Resilience programme** - completed six events, one remaining. Underspend could be used to support existing group. **Film** - draft version of five short 'message' films produced. Farmer contributors have changed over time due to personal circumstances. **G**

E N J O Y

Action No.	Key Action	Lead Officer	Quarter 1	Quarter 2	Quarter 3	Quarter 4
11	**Implement 'Love Moor Life' campaign** - programme of awareness raising and information to enable people to enjoy Dartmoor in ways that minimise the impact on local communities and the special qualities of the National Park. *Outcomes sought* - improved understanding of Dartmoor by our visitors and reduced number of complaints about visitor behaviour.	SH	**Milestone:** Develop all associated campaign materials, artwork, webpage and launch campaign. As per commas plan **Actual Progress:** campaign launched, webpage launched all material produced as per the campaign plan **G**	**Milestone:** Continue with campaign and commas plan, outreach vehicle attending events and shows with 'branded' LML staff conveying messages face to face **Actual Progress:** Campaign continues, with key messages being shared in social media and materials being used on outreach vehicle during the summer. Next steps being scoped **G**	**Milestone:** Develop autumn winter elements of the campaign and re-launch with media **Actual Progress:** Update to LT and initial feedback sought. Social media campaign film on roads developed for Christmas, will continue in Jan/Feb. Plans for spring being drawn up including Dicky Bags **G**	**Milestone:** Evaluation of campaign - what worked well and what didn't. Develop new campaign and commas plan for 2019. **Actual Progress:** Evaluation informally completed, new products and materials produced for 2019 including new partners for LML Dicky Bags [dog litter] and on the spot rewards - Forthglade [dog treats]. **G**
12	**Pathways Project** - integrated programme to secure funding for and implement a programme of improvements to the Public Rights of Way network and access areas; and to promote the network as a resource for all to use. *Outcomes sought* - access infrastructure that is in good condition, easy to use and helps support the Dartmoor economy.	AW	**Milestone:** Complete tender process for Buckfastleigh paths project. Identify potential project areas where improvements can be achieved on a network scale **Actual Progress:** Tender for path improvements around Buckfastleigh advertised. Initial scoping meeting for Pathways project vision and strategy held and vision paper produced. Meeting scheduled for 2 July to agree next steps. **A**	**Milestone:** Appoint contractor for Buckfastleigh paths. Confirm project areas for future work. **Actual Progress:** Contractor appointed for Buckfastleigh paths, due to be on site in October. High moor area at Postbridge identified for second pilot pathways improvement project. Schedule of Works currently being drawn up. Vision for what we want to achieve agreed and funding sources are being explored. **G**	**Milestone:** Work with fundraising officer to scope funding / sponsorship potential and develop funding bids. Provide report to Leadership Team **Actual Progress:** Buckfastleigh pilot area - on site works completed within budget available. Postbridge pilot area - paths surveyed and schedule of works drawn up to go out to contractors for pricing. Meetings scheduled with Duchy, DPA and Ramblers groups regarding partnership working and joint funding initiatives. **G**	**Milestone:** Project plan in place for 2019 delivery **Actual Progress:** Buckfastleigh completed, Widecombe area surveyed and costed; proposal sent to DPA for consideration of funding (awaiting response). Other funding avenues being sought. Consultation underway for Postbridge pathways project. Work on standards progressing but not quite complete. **A**

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
13	**Large-scale recreation events** - develop and agree a revised policy for managing large-scale events on Dartmoor in partnership with Dartmoor Commoners' Council, Dartmoor Common Owners' Association and event organisers. *Outcomes sought* - improved management of large-scale recreation events so participants can enjoy themselves without negatively impacting on farmers, commoners, landowners and the wider community and the environment. Also ensuring that such events contribute to the management and economy of the National Park.	AW	**Milestone:** Draft policy produced and circulated to interested parties **Actual Progress:** Revisions to revise policy produced through discussion with stakeholders. Event Organisers workshop held in June and some organisers have provided feedback. DAF have also discussed and asked for their views - they are due to meet formally in September but appear to support changes outlined in draft.	**G**	**Milestone:** Host Event Organisers workshop **Actual Progress:** This milestone was completed June 2018. Policy going to Authority for adoption in October 2018.	**G**	**Milestone:** Complete final changes to policy and guidance for event organisers. New policy implemented, website updated and guidance produced	**COMPLETED**	**Milestone:**	**COMPLETED**
14	**Deliver Dartmoor elements of the Active 55 Project** - Partnership project funded by Sport England and led by Active Devon. Aim is to provide opportunities for people aged 55 plus to engage in physical activity in the natural environment. We will be supporting delivery on Dartmoor. *Outcomes sought* - active lifestyles for people aged 55 and beyond and enhancing their understanding and enjoyment of the National Park.	OR	**Milestone:** Development Phase completed - lessons learnt and pilot activities embedded in delivery phase programme to last 5 years starting May 2018. **Actual Progress:** Steering Group postponed as Active Devon undertake a significant internal restructure. Clarity about outcomes and capacity from partners to deliver has been sought. Bid submitted. DNPA letter of support.	**A**	**Milestone:** Project start up: recruit activity project leads (bankers and testers); start participant recruitment; start ambassador recruitment. **Actual Progress:** Active Devon have received funding. Project now underway. Further meetings with project lead from Active Devon mean greater understanding of programme. Support resources being developed. Meeting with potential volunteer.	**A**	**Milestone:** Develop activity project leads - learn from testers; start 'sustain' to 30 min initiative with participants. **Actual Progress:** first 6 month update report submitted to Sport England by Active Devon which identified learning and development to date; numbers of peer-support volunteers/ambassadors engaged. First set of evaluation data being collated by Exeter University for sharing at steering group February 2019.	**A**	**Milestone:** KPIs at end of year one delivery: Total number of new 'inactive' participants engaged: 300; total number of ambassadors recruited: 90; total number of 'sustain' to 30 min: 165. **Actual Progress:** Partner Progress Meeting on 27 February 2019 well attended by a range of providers across sectors. Highlighted progress towards KPIs with 25 projects started; average age of participants = 59; 75% of participants are female; 35% recorded as 'inactive' at baseline. Partnership meeting also saw launch of comprehensive data capture, recording and evaluation software.	**A**
15	**Junior and Youth Rangers** - sustain the Junior Ranger programme using funding from Moor Otters and pilot a new Youth Ranger initiative. *Outcomes sought* - a viable Junior and Youth Ranger programme that provides young people with an enjoyable experience and a better understanding of the National Park; nurturing the skills and passion for participants to be ambassadors for Dartmoor.	OR	**Milestone:** Recruitment in Q4 of 2017-18 for launch of new cohort of Junior Rangers April 2018. With Ranger Team Manager identify a 'Continuity Lead Ranger'. Develop a Comms Plan for the Junior Ranger project. **Actual Progress:** Successful new Junior Ranger Programme well under way - with a good mixture of new participants and returning young people who act as mentors. New 'Continuity Lead Ranger' successfully appointed and starting to 'shadow' delivery and develop thoughts about future direction with Senior Learning & Outreach Officer.	**G**	**Milestone:** Mentor 'Continuity Lead Ranger' through initial stages of Junior Ranger programme to ensure seamless support for 'delivery rangers' and confidence from parents. **Actual Progress:** Continuity Lead Ranger 'embedded' with this year's delivery. We are developing ideas for 'progression model' to Youth Rangers for older young people. In discussion with Ranger Team Manager to understand and create capacity to support both Junior Rangers and Youth Rangers in 2019.	**G**	**Milestone:** Develop costed and staff resourced options for future development of Junior Rangers [growth?] ...and for Youth Rangers pilot in 2019. **Actual Progress:** Good progress towards developing a 'Youth Rangers' pilot for 'graduates' from Junior Rangers, complete with staff resource and funding identified.	**G**	**Milestone:** Start Junior Ranger recruitment process and recruitment for Youth Ranger pilot. **Actual Progress:** Successful launch of next cohort of Junior Rangers - incuding 'new' from varied demographic from a Face Book campaign. Plus the launch of the Youth Rangers progression route for 'graduating' Junior Rangers to undertake more demanding tasks and a longer John Muir Award. Varied programme planned for Junior and Youth Rangers for remainder of calendar year.	**G**
16	**Scope 'Access for All' project** - scope, and potentially develop, a bid for external funding to support a programme that provides opportunities for all sectors of society to enjoy Dartmoor's special qualities. *Outcomes sought* - clear action plan to support an 'Access for All' project and potential funding bid drafted/submitted.	AW	**Milestone:** Initial scoping and discussions with accessibility groups - identify key players etc. **Actual Progress:** Not started due to other priorities.	**R**	**Milestone:** Complete desktop survey **Actual Progress:** Support gained for joint working with disability groups including evaluation of Walking Festival routes in August. Desktop assessments started to identify suitable routes. Website page in construction.	**A**	**Milestone:** Complete access audit and scope associated activities that build confidence in visiting outdoors etc. Produce draft budget / costings **Actual Progress:** Access audit commenced for identified routes and identified our approach re website content - this will need to go into Comms workplan for 2019. This area of work has slipped due to team capacity and other priorities (focus on MTMTE Postbridge Trails, Rec Events, increased mangement activity associated with Conservation works Team) and availability of volunteers due to time of year.	**A**	**Milestone:** Identify potential funders and develop bid ready for submission **Actual Progress:** No further progress this quarter, but this area of work has been picked up by new Access Assistant post 1 April. Improvements to Bellever and Postbridge Trails Tramper route implemented, range of trails identifd is now being taken forward (April 2019). Access for All project not scoped.	**R**

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
17	**Dartmoor 2019** - scope project that will contribute to 2019 year of action for the environment and help celebrate the 70th anniversary of the National Parks and Access to the Countryside Act 1949. *Outcomes sought* - clear project plan that celebrates the two themes and provides opportunities for people to get engaged in the National Park.	OR	**Milestone:** Develop outcome criteria with lead Director and major delivery officers		**Milestone:** Draw together project team from across delivery spectrum to develop ideas and outline costs for an activity plan. Plan to LT? September?		**Milestone:** Create year long programme - with costings that includes DNPA delivery, possibility of partnership delivery, opportunities for external contractor delivery. Submit budget bid.		**Milestone:** Begin first quarter of delivery.	
			Actual Progress: First meeting of 'Project 19-YOGA' project team held to scope rationale for activities using a theory of change model to ensure that activity in 2019 is co-ordinated and has clear outcomes, considers potential impacts and longer term legacy.	A	**Actual Progress:** Paper presented for LT discussion and steer. Project team asked to consider delivery for 2019 within current staff capacity. Future meetings to consider activities within existing resource.	A	**Actual Progress:** Revised activity plan complete with new and existing activities plus identified reources reported to Leadership Team Jan 2019. Increased offer in part due to strong partner networks.	G	**Actual Progress:** Progress 'behind the scenes' has included a Social Media campaign to go live in spring plus the recruitment of a John Muir Award cohort from office based staff. Delivery includes new webpages to provide opportunities for the public to 'connect' and 'enhance' through volunteering and the Learning & Outreach offers; a planned Twitter campaign for the rest of the year, Rangers' Volunteering opportunities and National Parks' Fortnight activities and events specifically with 70th theme.	G

P R O S P E R

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
18	**Review and adopt a revised Dartmoor Local Plan** - ongoing work programme to ensure that we have an up-to-date local policy framework for managing development within the National Park. *Outcomes sought* - Adopted Local Plan that supports development that is 'Good for Dartmoor' and helps deliver National Park purposes and vibrant communities.	DJ	**Milestone:** Member Steering Group Meetings consider the draft Local Plan (LP) Chapters. Officers Workshops for Draft LP Chapters. Evidence base largely complete.		**Milestone:** Reg 18 LP assembled. Reg 18 LP Designed. Reg 18 LP Agreed for consultation at Authority.		**Milestone:** Reg 18 Draft Local Plan published for consultation. Consultation & Engagement completed in line with SCI. Representations entered and DNPA responses completed.		**Milestone:** Reg 18 representations reviewed. Reg 18 draft reviewed and Reg 19 proposed key changes considered by Member Steering Group	
			Actual Progress: Steering Group meetings held, officer workshops held, 4 chapters complete for environmental appraisal	G	**Actual Progress:** Reg 18 Local Plan completed and awaiting appraisal reports. Full LP to Planning Panel and planned for special November meeting for Authority approval	A	**Actual Progress:** Reg 18 Draft Local Plan published for consultation. Public consultation events held, PC Workshop held, topic workshops planned for Jan. Database complete ready for reps.	A	**Actual Progress:** Reg 18 representations logged in database, summary report completed. Steering Group Meeting discussed key findings and agreed timetable. PAS Pilot session held.	G
19	**Affordable Housing** - support delivery of affordable housing by working with developers and communities to bring forward sites, seek funding and ensuring we have a viable delivery model. Implement Revolving Land Bank proposals if funded. *Outcomes sought* - affordable housing for local needs that is well designed.	DJ	**Milestone:** Planning Enabler appointed. Devon Rural Housing Partnership (DRHP) Programme for 2018 agreed. Joint Advisory Committee (JAC) Meeting held.		**Milestone:** Planning Enabler in post. DRHP Programme quarterly review.		**Milestone:** DRHP Programme quarterly review. One Housing Needs Assessment (HNA) completed.		**Milestone:** DRHP Programme quarterly review. One HNA completed.	
			Actual Progress: JAC postponed, no suitable candidates for Enabler post.	A	**Actual Progress:** No appointment to planning enabler post (no suitable candidates). DRHP programme ongoing with work within NP at Dunsford, Widecombe, Cornwood and S Brent	A	**Actual Progress:** Negotiating alternative support to planning enabler. Supported affordable housing delivery on schemes at South Brent, and allocated (S106) sites.	A	**Actual Progress:** Temporary housing officer started (Housing Support Officer 1 day per week), HNA for Cornwood completed.	A
20	**Good broadband and mobile communications** - support high speed broadband and good mobile communications network on Dartmoor and work in partnership to encourage use of this network by local businesses and communities. *Outcomes sought* - communications network that supports local communities and businesses and helps visitors enjoy and understand the National Park.	JR	**Milestone:** identify partners and opportunities for support for demand stimulation programme on Dartmoor. Report on progress to date. Identify whether further involvement regarding demand stimulation for DNPA.		**Milestone:** To be determined subject to further involvement		**Milestone:** Superfast broadband enabled to 4,794 additional premises on Dartmoor and Exmoor through the Connecting Dartmoor & Exmoor programme.		**Milestone:** Superfast broadband enabled to 4,794 additional premises on Dartmoor and Exmoor through the Connecting Dartmoor & Exmoor programme. Demand stimulation programme agreed to drive takeup on rollout completion.	
			Actual Progress: Delay in finalising Airband phase 2 programme until August 2018. Baseline information on coverage being pursued and should be available in the Autumn. No commitment from CDS to undertake any demand stimulation work on Dartmoor to drive up take-up.	A	**Actual Progress:** Still awaiting outcomes of phase 2 CDE project.	A	**Actual Progress:** Phase 2, CDE rollout now substantially complete but subject to final BDUK assurance checks and programme sign off due spring/summer 2019. Confident that will achieve contract target of passing around 4,800 premises across CDE area. DNPA currently working with Airband on pilot for new airfibre scheme (local fibre optic delivery with wireless backhaul) on Dartmoor as one of 3 CDS community challenge projects. Another community pilot also took place on Dartmoor at Harford which looked to a BT fibre solution. This is now complete. BT gainshare monies are also likely to benefit Dartmoor over next 12 months or so but final coverage is still to be determined.	A	**Actual Progress:** Final coverage still to be signed off by BDUK but confident that will exceed the 4,794 contracted. BT Gainshare also still to be confirmed but significant additional Dartmoor coverage is currently included. Board Workshop on Demand stimulation planned; Officer meeting already held and some actions agreed.	A

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
21	**Volunteer and citizen engagement programme** - active programme of volunteer opportunities across our services and support for these people and other volunteer groups working on Dartmoor. *Outcomes sought* - rewarding volunteer opportunities that help sustain the National Park, promote enjoyment and understanding and contribute to community well-being.	NW	**Milestone:** Continue existing provision of long-term volunteering at Haytor and Roborough; provide grant aid to conservation groups; provide support and regular communication to existing volunteers and manage new enquiries; arrange and review volunteer days with identified groups (e.g. HMP Prison); gather feedback from sample of 20 volunteers to understand what they want/when/how we can improve; conduct data/skills audit of current volunteers to ensure data is robust/useful **Actual Progress:** Long-term volunteering events ongoing; register of volunteers checked for consent (GDPR); feedback from volunteers started and ongoing; identified limited capacity to support group requests and updated website accordingly; drafting end of project report **G**	**Milestone:** Consider potential development of corporate volunteering opportunities (in conjunction with Comms/Donate for Dartmoor); consider potential for volunteer management system; complete report at conclusion of volunteer support project; determine capacity needed to maintain volunteer support and delivery; put ideas forward for 'thank you' event in September 2018 **Actual Progress:** Corporate volunteering opportunities not currently being progressed. Meeting arranged with SJ/SL (Nov) to discuss proposal for sponsored volunteer coordinator; SJ progressing new CRM/donor management system (demos attended in Sept); Volunteer Project closure report considered by LT; agreed to use existing admin resource to manage enquiries/systems; decided not to progress idea for 'thank you' event **G**	**Milestone:** Determine/implement next steps identified during volunteer support project (to be confirmed); maintain/develop volunteer provision; forward plan to seek to ensure the legacy of MTMTE volunteers are retained within DNPA **Actual Progress:** General volunteer enquiries/admin ongoing (Legal Sec); opportunity for a sponsored Volunteer Co-ordinator to be promoted across SW businesses early 2019 (proposal flyer drafted); no progress yet re: MTMTE volunteers **A**	**Milestone:** Develop plan to seek to ensure the legacy of MTMTE volunteers are retained within DNPA **Actual Progress:** General volunteer enquiries/admin ongoing (Business Suppport Officer); opportunity for a sponsored Volunteer Co-ordinator to be promoted across SW businesses early 2019; discussion ongoing with MTMTE volunteers as part of legacy planning **G**
22	**Terrific Towns, Vital Villages** - a pilot initiative working with local businesses and communities in selected settlements to explore how we might promote these settlements as destinations in their own right, highlighting their history and 'sense of place' and developing individual USPs to increase footfall and trade. *Outcomes sought* - local business networks that will help promote their towns/villages, increased footfall and spend for local businesses and enjoyable visitor experiences.	JR	**Milestone:** achieve sign up of key community organisations to approach in 2 pilot settlements **Actual Progress:** Draft programme plan well received by 2 pilot Town's Councils and chamber of trade. Ashburton - event being planned for Sept with businesses to take forward proposals. Meeting with Tavistock BID/Chamber arranged to explore potential for collaborative approach to support Princetown.	**Milestone:** engage with community and local businesses to create 'town teams' **Actual Progress:** Meeting with Ashburton TC and Chamber agreed project proposal and programme. Meeting with Princetown PC agreed proposal and explored potential to link with Tavistock Chamber & Bid. **G**	**Milestone:** facilitate 'town team' development of project proposals **Actual Progress:** Ashburton and Princetown signed up for pilots. Support from LEP Growth Hub, Cosmic and DCT and some private business secured in principle. Ashburton 'Town Team' Terms of Reference agreed. Project Plan and programme to be developed during 2019, with a view to bid to Future High Street Fund. Digital marketing workshop & follow up 1-2-1 support secured for traders. Ashburton Antiques trail to be launched in Jan 2019. New 'Discover Ashburton' guide for 2019 also linked to new website and town rebranding subject to funding. Working closely with Town Council and Chamber of Trade, who jointly host the project. Princetown progressing more slowly, opportunity to link in with new Distillery to revitalise village approach as this progresses. **G**	**Milestone:** Ashburton Town Team draft project plan. **Actual Progress:** Workshop to finalise Action Plan set for May 2019, facilitated by DCT who will also prepare draft Action Plan. An active community network have taken forward initiatives including: Ashburton Antiques Trail launched Jan 2019; Digital Marketing Workshop run by Cosmic held and well attended with good feedback; 'Discover Ashburton' guide launched end of April; 'Discover Ashburton' website being developed. Three bids submitted to GD LEAF for 'Discover Asburton' Hub to be created in Info Centre, Cleder Place and Ashburton Antiques Trail development. Future High Street Fund criteria exclude Ashburton bid, alternative funding streams will need to be sought. **A**
23	**Developing the food economy** - scope and deliver an initiative to support and promote local food producers and retailers on Dartmoor. *Outcomes sought* - evidence and practical experience of how to better promote food products from Dartmoor National Park in ways that support local businesses.	JR	**Milestone:** scope and define project with key partners including potential funding sources **Actual Progress:** Awaiting confirmation of DHFP funding amount, whether restricted or unrestricted and accountability.	**Milestone:** Confirm scope, objectives and budget for project. **Actual Progress:** No budget forthcoming through DHFP or LEP avenues and scope of project accordingly revised to focus on elements that could be delivered through existing DNPA resources. Focus on promotion of Dartmoor Food and Drink offer through HMVC exhibition, events and editorial in 'Enjoy Dartmoor' for 2019 season. **G**	**Milestone:** Autumn Food & Drink Exhibition in HMVC and feature article in 2019 Enjoy Dartmoor confirmed. **Actual Progress:** Feature article on Dartmoor Drink drafted for Enjoy Dartmoor 2019 with involvement of 3 Dartmoor Drink producers. Planning for Autumn 2019 Dartmoor Food & Drink HMVC exhibition and related events and activitiies now underway. **G**	**Milestone:** Food & Drink producers identified for Exhibition. **Actual Progress:** Long list of businesses identified includes 3 drinks producers already promoted in this years 'Enjoy Dartmoor'. Focus on those where product is produced/made on Dartmoor with at least 1 ingredient that is sourced from Dartmoor, promoting Dartmoor provenance. other selection criteria include product outlets/retail accessibility and web presence. Plans for an exhibition are subject to a bid to the Project Fund. **A**

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
24	**Parishscapes 2** - working up costed proposal to extend the successful Moor than meets the eye Parishscapes project to the wider National Park area and seek funding for this initiative. *Outcomes sought* - a funded grant scheme to support community action to help deliver projects that enhance the environment and out understanding of it.	AK	**Milestone:** Initial discussion with partners and stakeholders. Discussion through MTMTE legacy workshops		**Milestone:**		**Milestone:** Start the development of Round 1 bid to HLF		**Milestone:** Continue to develop funding bid for possible submission in June 2019	
			Actual Progress: Initial discussion taken place and positive. No further work planned now until September.	**G**	**Actual Progress:** No work planned for this quarter. MTMTE Legacy Plan has identified parishscapes as a priority for future action.	**G**	**Actual Progress:** Not started. Work planned for next quarter so that we can consider the new funding packages to be launched by HLF in January.	**A**	**Actual Progress:** Attended HF Strategic meeting in March. Drafted ideas in response to new Strategic guidance. Meetings arranged with internal and external partners for May/June	**A**
25	**MTMTE Legacy Plan (key action for 2018/19 - progress monitored here)** *************************************** *Deliver Moor than meets the eye* - *the Authority is the lead partner for this Heritage Lottery Funded Landscape Partnership. As well as acting as the 'accountable body' and co-ordinating the work of partners, the Authority is responsible for delivering a number of projects which are reported separately to LT and Members (avoiding duplication here).* *Outcomes sought* - a lasting legacy of environmental enhancement, improved visitor facilities, community engagement, wider understanding and better visitor management.	MA	**Milestone:** - Organise collaborative Legacy Planning Workshop & form Legacy Steering Group		**Milestone:** - Draft Legacy Plan for Board Review (July 18) - Develop 'outward-facing' Legacy Overview and continued detailed Legacy Plan development		**Milestone:** - draft Legacy Overview and Legacy Plan docs for Board comment (9 Oct 2018) - Legacy Overview and Plan for Board approval (Nov 2018) - Submit Legacy Overview and Plan to HLF (Nov 2018) - Respond to HLF feedback		**Milestone:** - draft Legacy Overview and Legacy Plan docs for Board comment (24 Jan 2019) - Legacy Overview and Plan for Board approval (24 Jan 2019) - Submit Legacy Overview and Plan to HLF (1 Feb 2019) - Respond to HLF feedback	

			Actual Progress:
			 - Legacy Planning workshop held 9 May 2018
			 - only 2 volunteers to form a 'Legacy Steering Group'. Opted for a small and informal reference group (MTMTE core team + Tony Clark + Rob Parkinson)
			 - collated various sources of MTMTE Legacy info
			 - sourcing and literature review of other LPS examples
			 - Project Org/Lead reviews of Project Proforma aspirations not forthcoming
			 - updated draft Legacy Plan for 4 July CSG and 12 July LPS Board
				G	**Actual Progress:**
					 - Literature review of other LPS Legacy Strategies and Action Plans
					 - Developed 'outward-facing' Legacy Overview and Action plan structure
					 - Provided Legacy Planning briefing note update for 12 July 2018 Board identifying the two key documents to be prepared and key inputs/development framework
					 - Updated draft Legacy Plan for Board Review (12 July 18) following limited Partner input throughout previous two quarters
					 - concerned over lack of engagement/input/ownership from Partners to take legacy forward
					 - held Legacy Working Group meeting 5 September and presented Legacy Overview structure
					 - Identified 10 project Case Studies illustrating MTMTE success and sought Partner input (1 received by 27 Sept deadline)
						A	**Actual Progress:**
							 - Strategic Legacy Development Overview discussed at 9 Oct 2018 Board and minor comments incorporated
							 - 1No. /10 Case Study received for deadline, 5 in total to date
							 - Limited Partner input or apsirations confirmed
							 - submission postponed with HLF until Jan due to workload and Y5Q1 Claim & Progress Report priority
								A	**Actual Progress:**
									 - draft Legacy Overview and Legacy Plan docs submitted to Board and HLF for comment
									 - Five outline projects discussed at 8 Feb 2019 HLF Monitoring Meeting:
									   a) Parishscapes 2
									   b) EcoSkills / Conservation Assistants 2
									   c) 'Walling club'
									   d) Volunteering and communal use of the tool trailer
									   e) Moor Meadows linkage and communal use of the seed harvester
										G

26	**Effective partnerships** - most of the work we do is in partnership with other organisations, individuals and communities. These partnerships take time to develop and maintain. A key focus for 2019/20 will be in developing our links to local universities through the SWEEP partnership and a Dartmoor Research Day. We will also support other partnership initiatives such as Butterfly Conservation's 'All the Moor Butterflies'. *Outcomes sought* - partnerships that help us and our partners deliver National Park purposes and vibrant communities.	AK	**Milestone:** Dartmoor Research Day 17 July 2018. SWEEP - recreational impacts study completed.		**Milestone:** Evaluate Research Day and develop future proposals subject to resources. Bring together partners regarding Haytor and Wray Valley project. SWEEP - project meeting 9 July 2018 to agree future milestones		**Milestone:**		**Milestone:**	
			Actual Progress: SWEEP Recreation Impacts study completed. Will be part of presentation at Dartmoor research day. Dartmoor Research Day planned and advertised - nearly fully booked. Natural capital work by SWEEP unit delayed due to capacity issues at SWEEP, Steering Group meeting scheduled for 9 July.	**G**	**Actual Progress:** Review of Research day completed, day was a success but agreed to consider a meeting with interested parties next year to take forward ideas and then consider another research day in 2020. SWEEP project delayed due to capacity issue within SWEEP unit.	**G**	**Actual Progress:** SWEEP Recreation Futures report completed and joint press release agreed. Worked with UoE who have submitted a bid to SWEEP2 for an innovative project to monitor landscape change through remote sensing. Progressing joint project with NE regarding landscape scale management.Initiated discussions with Butterfly Conservation regarding future partnerships . COMPLETE	**G**	**COMPLETED**	

Action No.	Key Action	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
27	**Apprenticeship programme** - support for a rolling programme of up to three apprenticeships per annum. *Outcomes sought* - supporting people into work through skills development, training and relevant experience. Support for the Authority's service delivery.	NW	**Milestone:** Continue to provide support to existing 4 apprentices; HR Officer to develop 'mentor' role, building on initial meeting in February 2018; ongoing relationship with Bridgwater College; continue to support development of Apprenticeship Standards (Countryside Worker Standard due to be 'live' during 2018/19)	**Milestone:** Leadership Team to consider replacement apprenticeship due to end of Digital Comms Apprentice end of October 2018; ongoing support to apprentices/managers	**Milestone:** Subject to decision, recruit new apprentice(s); ongoing support to apprentices/managers	**Milestone:** Ongoing support to apprentices/managers
			Actual Progress: HR Officer providing valued support to apprentices - ongoing; LT approved ICT Apprentice (2 years) - recruitment ongoing; Digital Comms Apprenticeship due to end September 2018. **G**	**Actual Progress:** Digital Comms Apprentice appointed to permanent post; ICT Apprentice appointed; 2 x CWT apprenticeships run to end of May 2019; 1 x CWT apprentice to end of Dec 2019 - JS to consider future staffing of CWT for 2019/20 **G**	**Actual Progress:** LT determined no further apprentices at this stage; HR work with CWT has improved working arrangements for CWT Apprentices; mentoring support for apprentices provided by HR Officer/managers as appropriate; 2 x CWT apprenticeships end 31/05/19 - need to confirm future plans. **G**	**Actual Progress:** 2 x CWT apprentices have left DNPA having secured employment; 1 x CWT and 1 x ICT apprentice remain in post; mentoring support for apprentices provided by HR Officer and managers as appropriate; need to determine requirement for future apprenticeships. **G**
28	**External fundraising programme** - renewed focus on Donate for Dartmoor, scope and implement project plan for a new 'public arts' project to be delivered 2019. Support <u>Mend our Mountains</u> 2 and consider a crowdfunding initiative specific to Dartmoor. *Outcomes sought* - funding for practical projects that help sustain the National Park and promote its enjoyment and understanding.	SH	**Milestone:** refreshed brand and focus for Donate for Dartmoor developed, new marketing materials and business networks developed. Project group for public arts project set up and plan developed for 2019. Mend our Mountains public lunch and promotion via social media	**Milestone:** CRM specification developed for supporter and volunteer database. Public arts project authority report, project plan drawn up and tenders developed	**Milestone:** CRM set up and regular communications for fundraising developed. Scoping report developed for membership scheme. Options considered for crowdfunding campaign. Public arts trail work ongoing, contracts awarded, sculpture developed, artists selected	**Milestone:** develop crowdfunding campaign [if appropriate]. Continue with public arts project, sponsors, artists and trail development. Evaluate Donate for Dartmoor
			Actual Progress: refreshed brand and focus developed for Donate for Dartmoor. Donation boxes made and distributed, talks given to groups and business groups. Mend our Mountains launched. Public Arts project not going ahead. **G**	**Actual Progress:** CRM scoped and on track, specification developed and three companies invited to present. Fundraising update presented to LT with direction of travel approved. Priorities agreed: Donate for Dartmoor to focus on a single fund; scope proposal for sponsored volunteer coordinator; arts trail to be progressed as a major fundraising and engagement project for 2020. **G**	**Actual Progress:** CRM supplier agreed, slight delay on set up waiting for DPIA to be completed. Comms developed for supporters [Moor Life] ready for CRM. Moor Otters 2 scoping **G**	**Actual Progress:** Fundraising paper and plan shared at Authority with actions agreed for 19/20. Project plan being drawn up for Public Arts project 2. **G**

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

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

24 May 2019

PERFORMANCE INDICATORS 2018/19

Report of the Head of Organisational Development

Recommendations : **That Members:**
  (i)   analyse performance for 2018/19 and consider any action which may be taken to maintain and/or improve good performance or to address under performance
  (ii)   note the proposed performance indicator targets for 2019/20

1   Purpose of the Report

1.1   This report informs Members of performance against the Authority's agreed performance indicator targets for 2018/19 and provides an opportunity to discuss, query and challenge performance against each indicator.

1.2   Our performance in 2018/19 and the proposed targets for 2019/20 are provided in Appendix 1.

2   Performance Indicators

2.1   The Authority's current set of performance indicators include 'state of the park' indicators that we have little direct influence over as well as more specific indicators about the Authority's performance. Some of these indicators are agreed locally and others are agreed nationally (i.e. required by Central Government or agreed with other National Park Authorities).

2.2   National Park Management Plan indicators are reported to the Management Plan Delivery Board (chaired by the Authority and comprising key partners). They are reported separately to the Authority each year. These indicators are related to the Ambitions in the Management Plan and many are outcome based.

2.3   Performance indicators that relate to how our services are performing are reported to the Audit & Governance Committee in May each year and monitored during the year. Some of these are so-called 'family indicators' i.e. they are collected by all English National Park Authorities according to an agreed methodology. This 'family' information will be shared with Members annually when available (normally July).

3   Performance for 2018/19

3.1   Attached at Appendix 1 is the list of performance indicators including a description and the outturn (i.e. how the Authority has performed) for 2018/19. The outturn for the previous year (2017/18) is also provided for comparison purposes.

3.2 For 2018/19 where a target is met or exceeded, this is highlighted green. If a target has not been met, then this is highlighted red. Those indicators with no highlight have explanatory text or did not have a target set (i.e. pilot year).

3.3 The proposed targets for 2019/20 are also included in the final column.

4 Targets not met 2018/19

4.1 The table below summarises those performance indicators where performance did not meet the target set with further details provided in Appendix 1:

Ref No.	Indicator	Target	Outturn
S7	% of known erosion sites stable or improving	75%	**68%**
S12 a)	No. of working days lost to sickness absence - all	7	**12.17**
S14	% of Membership attending Authority meetings	85%	**82%**
S17	% of appeals allowed against DNPA decision to refuse consent	33%	**36.6%**
E1 a)	Number of visitors to Haytor Visitor Centre	52,000	**42,603**
E1 b)	Number of visitors to Postbridge Visitor Centre	58,000	**53,527**
E1 c)	Number of visitors to Princetown Visitor Centre	80,000	**74,749**
P1 b)	minor applications determined within 8 weeks	65%	**53.3%**
P2 b)	% of pre-applications for minor and householder applications which have been dealt with within 28 days	90%	**72%**
P8	Media articles in WMN & Tindle Group [Dartmoor] papers	420	**389**
P9 a)	Followers on Social Media	40,000	**38,100**
P9 b)	Subscribers to e-communications	2,500	**1,490**
P9 c)	% opened	45%	**34%**
P10	Number of unique visitors to website & page views	350,000/ 2,000,000	**337,120/ 1,607,246**
P11	% of Parish meetings attended at least once in the year	80%	**78%**
P12 a)	Number of shows attended	18	**17**
P14	Donate for Dartmoor	£25,000	**£22,084**

4.2 Appeals Summary: 2018/19

Performance Indicator S17 covers the period 1 April – 31 March 2019. It applies a benchmark target of 33% of appeals allowed against DNPA decision to refuse permission. This indicator applies to all planning appeals. It does not include figures related to enforcement appeals (4 received in the year, 2 of which were withdrawn).

A total of 30 appeals were determined during the period of which 18 (60%) were dismissed, 11 allowed (36.6%) and 1 withdrawn (3.3%). Five appeals were determined by reference to informal hearings or inquiry.

Of those applications that resulted in an appeal there was a relatively even 50/50 split between those decided by Members at committee and those determined by delegated authority. In two instances, where Members overturned officer recommendations to grant permission, the Inspectors allowed the appeals (Inspector agreed with officer view). These two appeals primarily related to design issues. In one case that related to a new agricultural barn, Members overturned an officer recommendation to grant permission which resulted in a dismissed appeal (Inspector disagreed with officer view).

## 5	Changes to Performance Indicators for 2019/20

5.1	Following their review of the Performance Indicators outturn for the year, Leadership Team have agreed to delete the following:

E4(b)	Cost of disposing of litter collected
P7	Premises able to access superfast broadband as a % of total premises of National Park

## 6	Staff and Member Training

6.1	Training performance is no longer contained within our performance indicators although we still collect the data. The number of training days provided per member of staff was 6.43 (4.58 in 2017/18) and per Member 1.24 (0.90 in 2017/18). The previous targets (when last set in 2013/14) were 5 and 1.5 days respectively.

## 7	Compliments & Complaints

7.1	We registered 32 compliments during 2018/19 (54 in 2017/18) across all services from members of the public, volunteers, service users and organisations.

7.2	All compliments are shared with the staff concerned and line managers and a sample are also included in *In Touch* (staff newsletter) to recognise *Team Dartmoor* in action. Recent examples include:

Inquiry Inspector to Reception:
Thank you to you both for the lovely reception and friendly faces. Being an Inspector is a lonely job and this is one of the best welcomes I have received.

Project Partner to Team Dartmoor:
Huge thank you to you and your staff for help in facilitating peatland restoration on Dartmoor. Pulling together GIS, HER, experience, knowledge, meetings and cheery banter so appreciated. Look forward to continuing to work with you all.

Service User to Planning Enforcement:
Thank you for a thoroughly decent and human approach to my various misdemeanours.

Newspaper Group to Communications:
Communication with media regarding the grid lock during snow. Breath of fresh air to learn there are still some who understand it's good to talk.

Local School to Rangers & Education:
Huge thank you to everyone who was instrumental in providing a wonderful and highly educational experience for the children. We hope to maintain and develop the special connection between the school, moor and Rangers.

7.3   We also receive compliments and other feedback via social media which are also shared with staff and managers as appropriate.

7.4   During 2018/19 the Authority received and managed 17 complaints (compared to 14 in 2017/18) under the formal stages of our Complaints Procedure. One complaint was referred to the Local Government & Social Care Ombudsman which was determined as not requiring further investigation.

7.5   We continue to seek to learn lessons from the complaints and compliments that we receive. The Complaints Officer monitors ongoing correspondence to identify any recurring issue or trend and has facilitated meetings with team managers to identify lessons to learn and how we might improve performance.

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 a good level of service in priority areas as measured against the agreed Performance Targets (see appendix 1).

NEIL WHITE

Attachments: **Appendix 1 – Performance Indicators 2018/19 and targets for 2019/20**

20190524 NW PIs 2019/20

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2017/18	Outturn 2018/19	Proposed Target 2019/20
SUSTAIN - Conservation of the Natural and Historic Environment					
S3	Number of scheduled monuments 'at high or medium risk' conserved during the last 3 years	AC	17	**18**	17
S4	% Length of water courses with 'high' or 'good' ecological status	CG	36%	Environment Agency Water Framework Directive data to follow (June 2019)	Data supplied by Environment Agency
S4	% Length of water courses with 'moderate' ecological status	CG	61%	Environment Agency Water Framework Directive data to follow (June 2019)	Data supplied by Environment Agency
S7	a) Number of known erosion sites	RS	213	**220**	220
	b) % of known erosion sites stable or improving	RS	72%	**68%**	75%
Be an Excellent Organisation					
S10	% of income derived from sources other than National Park Grant	DH	20%	**29%**	30%
S11	% change in CO$_2$e from DNPA operations **(NB: Higher Uppacott was excluded in previous years)	DH	Buildings: 138,002kg +10.99% Transport: 102,014kg +2.58%	**Year to date: Bldgs: 130,974kg -5.6% Transport: 97,839kg -4.1%**	Buildings: 0% Transport: 0%
			Overall: 240,016kg +7.2%	**OVERALL: 228,813kg -4.66%**	0%
S12	Number of working days lost due to sickness per Full Time Equivalent (FTE)				
	a) including long term absence	NW	7.82	**12.17**	7
	b) excluding long term absence		4.40	**3.52**	3.5
S13	% of enforcement cases resolved without the need for formal action	JA/NS	92.3%	**96%**	90%
S14	% of Membership attending Authority meetings	PB	Authority: 82% Development Mgt: 80% Audit & Gov'nce: 94% Overall attendance: 82%	**Authority: 83% Development Mgt: 83% Audit & Gov'nce: 63% Overall attendance: 82%**	85%
S15	% of invoices paid on time	CAR	100.00%	**100%**	100%

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2017/18	Outturn 2018/19	Proposed Target 2019/20
S16	% of planning applicants satisfied with quality of the service received	CH/JA	Survey not undertaken in 2016/17 or 2017/18. To be considered in revised format for 2018/19.	Ongoing survey of service users - analysis to follow	Ongoing survey of service users - analysis to follow
S17	% of appeals allowed against DNPA decision to refuse consent (low figure is positive)	CH/JA	24%	**36.6%**	33%
ENJOY - Promote a positive experience of Dartmoor National Park for Residents and Visitors					
E1	Number of visitors to Visitor Centres at:	RM	187,534	**170,879**	190,000
	a) Haytor	RM	51,870	**42,603**	52,000
	b) Postbridge	RM	56,373	**53,527**	58,000
	c) Princetown	RM	79,291	**74,749**	80,000
E2	% of total length of footpaths and other rights of way easy to use by members of the public (even though they may not follow the exact definitive line)	AW	88%	**88%**	90%
E3	Number of visitors to the National Park	RM	2.47 (reported July 2018)	2.5m (reported June 2019)	2.5m
E4	a) Number of litter bags collected by DNPA staff or volunteers	SL	939	**650**	no target set
E4	b) Cost of disposing of litter collected (includes Tavi Taskforce collection costs)	RS	£14,525	£11,894	**PI to be deleted**
E6	Residents' satisfaction survey	LT	Completed May 2017	Due 2019/20	To be confirmed
E7	Vistors Satisfaction: (a) survey	RM	99% of the 306 people surveyed would recommend a visit to Dartmoor to other people	No survey 2018; now biennial	To be confirmed
	(b) Trip Advisor (stars achieved)	RM	4.6 stars average over 67 reviews	**4.7 stars average**	4.6
E9	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)	NW	378 14% (of 2723.5 direct DNPA) *Data not captured for volunteer groups*	**208.5 days 8% (of 2516 direct DNPA); approx 20% (1200 days of supported conservation groups)**	400

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2017/18	Outturn 2018/19	Proposed Target 2019/20
E10	*Number of large scale organised events notified to the Authority and subsequently held on Dartmoor National Park (NB figures for large on road cycle "sportives" that we are not consulted on, are shown in brackets)* **[to be revised - see below]**	AW	70	54	no target - record of trends
	number of people participating	AW	14,095	12,775	reduce number of very large events
E11	Public engagement events	CP	135 events (6667 people)	108 events	135 events
PROSPER - Work towards ensuring Dartmoor has a thriving economy					
P1	% of planning applications dealt with in a timely manner:				
	a) major applications determined within 13 weeks *If over 13 weeks Nos of PPAs or Exts	CH (TJ)	0% (2)	nil	50%
	b) minor applications determined within 8 weeks	CH (TJ)	67%	**53.30%**	65%
	c) other applications determined within 8 weeks	CH (TJ)	85%	**81%**	85%
P2	a) % of all planning applications determined which have been approved	CH (TJ)	89%	87%	no target - success is positive decisions for Dartmoot
	b) % of pre-applications for minor and householder applications which have been dealt with within 28 days	CH (TJ)	89%	**72%**	90%
	c) % of pre-applications for major applications which have been dealt with within 42 days	CH (TJ)	50%	nil	70%
P3	a) Total number of volunteer days organised or supported by the NPA	NW	2723.50 (direct DNPA) *plus* 5381.25 *(conservation groups)* Total 8104.75	**2516 (direct DNPA) plus 6444 (supported conservation groups) = 8960**	9000 (including volunteer conservation groups grant aided by DNPA)
			£75/volunteer day	£75/volunteer day	
	b) Value (expressed in £) of volunteer days	NW (via NPE)	£607,856	**£672,000**	£675,000
P5	Number of affordable housing units approved	DJ	39	2 A further 19 units approved subject to S106s which have not yet been signed (15 at M'hampstead in outline, 4 at South Zeal).	50
P7	Premises able to access superfast broadband as a % of total premises of National Park	JR	TBC (Sept 18)	Report to Authority June 2019, PI to be deleted	**PI to be deleted**

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2017/18	Outturn 2018/19	Proposed Target 2019/20
Improve support to and engagement with local communities					
P8	Media articles in WMN & Tindle Group [Dartmoor] papers	SH	442	**389**	420
P9	Number of:				
	a) Followers on Social Media	SH	29,241	**38,100**	50,000
	b) Subscribers to e-communications (running total)	SH	3,690	**1,490**	2,500
	c) % opened	SH	42%	**34%**	45%
P10	Number of unique visitors to website & page views	SH	296,156 / 1,364,268	**337,120/ 1,607,246**	350,000 / 2,000,000
P11	% of Parish meetings attended at least once in the year	PB	72%	**78%**	80%
	Number of Parish meetings attended by:				
	a) Rangers / Officers	PB	36	**43**	53
	b) Members	PB	22	**47**	30
P12	DNPA attendance at Local shows				
	a) Number of shows attended	CP	18	**17**	18
	b) Number of contacts made	CP	2,371	**2,200**	2,500
P13	Number of parishes engaged in preparing a community led plan during the year with advice /assistance from DNPA	JR	10	**10**	7
P14	Donate for Dartmoor - Nature Fund	LT	£979	**£959**	Overall target: £30,000
P14	Donate for Dartmoor - Recreational Fund	LT	£7,849	**£12,384**	
P14	Donate for Dartmoor - Cultural Heritage Fund	LT	£901	**£748**	
P14	Donate for Dartmoor - General Fund	LT	£8,566	**£7,993**	

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

24 May 2019

HEALTH & SAFETY ANNUAL REPORT

Report of the Head of Organisational Development

Recommendation: **That Members note how the management of Occupational Safety and Health (OSH) has continued to develop and improve, in particular, how by sharing information with other NPAs and by adopting common solutions to OSH problems efficiencies are achieved and standards raised.**

1   Purpose of Report

1.1   This annual report informs Members of progress in meeting and improving health and safety controls during the previous year and sets out the key actions to continue improvements and help embed good practice across the Authority.

1.2   Members have a duty to ensure that health and safety is effectively managed through the organisation and through the scrutiny of reports at the Audit & Governance Committee, Members will ensure that there are in place comprehensive corporate health and safety arrangements.

2   Background

2.1   It is the policy of the Authority to ensure, so far as is reasonably practicable, the provision of a safe and healthy workplace and working environment for employees and volunteers and to ensure the health, safety and welfare of members of the general public and anyone else who may be affected by the activities of the Authority.

2.2   The Authority has for a number of years maintained an agreement with Teignbridge District Council (TDC) for the provision of local occupational safety and health advice. This arrangement was amended from July 2017 but retains the valuable access to local expert advice and resource for day-to-day OSH matters. This advice is now primarily provided by John-Paul Bove, the Health & Safety Manager appointed by TDC in September 2018.

2.3   Since July 2017 an additional resource has been engaged utilising the services of the OSH Adviser at the Peak District National Park Authority to provide strategic OSH advice. Designed, principally to be more proactive and forward looking than the largely reactive advice provided locally, this service also has the benefit of standardising OSH management across a number of NPA Authorities. This is expected to provide good efficiency (no local reinvention of solutions to common

problems) and to improve confidence that suitable OSH standards are being met. This agreement runs until 31 March 2020 and will be subject to review later this year.

3   Progress in making strategic OSH management changes and improvements

3.1   Our new Health and Safety Policy is more consistent with those of other NPAs and will make it easier to make direct comparisons on key OSH management performance matters, including standards of management training, the completion of incident/near-miss reporting and the production and review of risk assessments. Next steps include clarifying the most appropriate chains of responsibility for managing various OSH matters.

3.2   Key developments and improvements during the last 12 months have included:

Ranger trackers
Following his appointment as Ranger Team Manager last year, Simon Lee prioritised making improvements to the lone working arrangements for the Ranger Team. It was recognised that the systems in place to locate lone workers, and for those staff to raise the alarm if needed, could be improved. Following discussions with partner organisations and testing different solutions, tracking devices were introduced across the Ranger Team on a trial basis for 12 months.

Each Ranger has a unit set up for them which they are expected to use when they are going off-road or leaving the vehicle on a walk. It is important to note that the tracking devices are not 'on' at all times; only when needed to mitigate the risks associated with lone working. Initial feedback is positive with the system working well and proving to be very useful in April 2019 when two members of the team assisted with the large fire on the south moor.

Conservation Works Team
Following the annual review of the fire risk assessment at the Works Team depot in May 2018, a number of health and safety issues were identified. This led to an investigation by Paul Nicholls, Food Health and Safety Manager, Teignbridge District Council. Mr Nicholls concluded his report in November 2018 recommending that further action was required to improve the team health and safety culture, review and update risk assessments and develop and introduce safe systems of work.

To bring about the improvements required, Mr Bove spent two days in February 2019 working alongside the Works Team, observing a range of activities across the Park. Mr Bove has used this information to audit existing risk assessments to ensure they reflect the actual work being undertaken. Mr Bove has also identified areas where risk assessments can be consolidated and made simpler to use.

This focused work with the Works Team has led to greater awareness of health and safety good practice, housekeeping and culture with further work ongoing to improve risk assessment records and training plans.

Training & Survey
All members of Leadership Team have completed the Institution of Occupational Safety & Health *Leading Safely* one day course that provides a clear understanding of the strategic importance of safety and health.

In November 2018, Mr Wayte (PDNPA) delivered a risk workshop to 30 staff and managers covering legal considerations, the Authority's new Health & Safety Policy and existing and proposed systems to manage risks. A follow up training session is planned this year to ensure staff that complete and review risk assessments clearly understand and can confidently follow the Authority's processes.

We also introduced a new health and safety opinion survey which was completed by staff and volunteers in December 2018. The same survey has been completed by PDNPA and other NPAs are expected to introduce it this year with a view to enabling effective benchmarking across some Parks. Responses to this first survey have been shared with staff and considered by Leadership Team and the Health, Safety & Wellbeing Committee. The feedback from the survey was positive and there were no significant concerns. This survey will be repeated in 2020.

Radon
Radon gas is prevalent across the South West and many premises on Dartmoor have high levels of this naturally occurring gas. We monitor Radon gas levels in all of our occupied properties between January and March of each year, and where the levels are found to exceed 300Bqm^3 remedial works are undertaken in an effort to reduce the levels of Radon present. In April 2018 one of the rooms in the Duchy Hotel in Princetown was found to have a level of 306Bqm^3. A positive pressure RADVAC system was installed in the summer of 2018 to lower the levels of Radon in that part of the building. Results of the monitoring undertaken between January and March 2019 show that all the areas tested were below 300Bqm^3, so no further remedial works are required at this time.

4 Health and Safety Monitoring

4.1 The table below identifies the number of recorded accidents/incidents, near-misses and dangerous occurrences for the previous 3 years:

Year	Accidents/ Incidents	Near misses	No. notifiable under RIDDOR*
2015/16	24	2	0
2016/17	13	1	1
2017/18	26	3	0
2018/19	20	4	1

Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

4.2 Numbers of reported incidents across all National Parks are low and consequentially any in-depth analysis is difficult. The number and type of incidents reported above are generally consistent with the number and type experienced elsewhere and gives no special cause for concern. It is the intention to make significant improvements to data sharing (among NPAs) and analysis this year including the potential for electronic reporting to improve in particular near-miss reporting.

5 Key actions for 2019/20

5.1 An action plan is in place setting out a programme of continuous improvement with a focus on ensuring people understand their individual OSH management obligations and are competent in assessing and managing risk.

5.2 The key actions for 2019/20 include:

- Continue policy review; updating OSH guidance and procedures and identifying gaps in provision
- Review generic risk assessments introduced in 2018/19 for distinct topics identified as particularly relevant for NPAs
- Develop corporate OSH training record and programme improving coordination and record keeping
- Continue OSH training for relevant officers, teams and managers, including how we can used the NPAs e-learning platform (ELMS) to support OSH training tailored specifically to meet NPA needs

5.3 Further work to review all OSH documentation is also ongoing and will continue throughout the period of the agreement with the Peak District NPA. Through the implementation of systems that are largely consistent across the National Park family, economies of effort will be realised and standards or control, information and training, update and review significantly simplified.

6 Equality and Sustainability Impact

6.1 The Authority seeks to treat all people equally, honestly and fairly in any, or all of its business activity, including partners, visitors, suppliers, contractors, service users.

6.2 The proper management of health and safety enables the Authority's customers, staff, volunteers and Members to be supported in a manner which ensures their safety is addressed in a reasonable and practical manner taking into account equality issues.

7 Financial Implications

7.1 Costs associated with the future Occupational Safety and Health improvement Action Plan can be met from the existing budget.

8 Conclusion

8.1 The future actions will support further development of a more robust framework for the management of OSH within the Authority. It prioritises ensuring Members, managers, staff and volunteers are all engaged with, and know what is expected of them in respect of OSH. A work programme identifying when more specific actions such as ensuring OSH is consistently raised at team meetings, near-miss reporting is encouraged, competence (for OSH) is continuously improved and routine performance data is made available, will all help to illustrate how this will happen and how successful it is.

NEIL WHITE

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

24 May 2019

2019/20 STRATEGIC RISK REGISTER

Report of the Head of Organisational Development

Recommendation: **That Members approve the updated Strategic Risk Register for 2019/20 attached at Appendix 1**

1   Background

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

1.2   It is commonly perceived that risk management is about producing risk registers and can be seen as bureaucratic. The formal recording of risk management information is clearly important, but equally important are the discussions and dialogues that take place about identifying and managing risks across all areas – from the individual to the organisational.

2   Monitoring and Reporting Framework

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

2.2   Appendix 1 contains a copy of the Strategic Risk Register for 2019/20 for comment and approval. The risk management process requires us to:

- identify, assess and record Strategic Risks (by staff, managers, Leadership Team and Members)
- determine the consequences of not taking any action to manage / mitigate those risks
- record current control measures that are in place to manage the risk and provide a "Current Residual Risk Rating"
- identify additional control measures that can be implemented, along with any resources that might be required
- re-evaluate and re-score the risk to demonstrate the anticipated "Planned Residual Risk Rating" (i.e. if the additional control measures are implemented)

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

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

2.4 Leadership Team monitor the Strategic Risk Register on a quarterly basis and have recently reviewed and updated the Register, so we are clear about potential risks and how we might mitigate these. The table below summarises the risks and residual risk ratings with further details provided in Appendix 1:

Risk Ref	Risk Description	Planned Residual Risk
P1	Ineffective internal communication	4
P2	Inadequate external communication/community engagement	6
P3	Inadequate Info Management/Business Continuity Planning.	4
P4	Inadequate focus on Performance Management	6
P5	Lack of support to deliver on the actions in the NPMP	6
P6	Failure to determine major planning applications < 13 weeks	4
S1	Failure to implement culture of risk assessment/management	6
S2	Emergencies affecting DNPA land/buildings or activity	4
S3	Managing officer workload	15
S4	Workforce planning and resilience	20
S5	Superfast Broadband Project	8
S6	New Visitor Centre at Postbridge	15
F1	Potential for further reductions in National Park Grant	16
F2	Inadequate financial management	4
F3	Appeals, Public Enquiries and enforcement action	6
F4	*Moor than meets the eye* Landscape Partnership Scheme	12
G1	Fraud & Corruption	2
G2	Inadequate procurement practice	6
G3	Inadequate management of partnerships and projects	8
G4	Inadequate decision making process and documentation	6
G5	Failure to implement new or changes to legislation or policy	6

2.5 The Register has four categories of risk: *Performance, Strategy, Finance and Governance*.

2.6 Workforce planning and resilience (S4) and the impact of absences remains the area of highest risk given the size and scope of our organisation and operations.

2.7 The changes to risk ratings since Members last formally approved the register in November 2018 are:

S6 – New Visitor Centre at Postbridge; probability risk rating increased although no change to residual risk rating
F4 - *Moor than meets the eye* Landscape Partnership Scheme; residual risk rating increased (8 to 12)

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

2.9   The Strategic Risk Register is reported to this Committee in May and November each year.

NEIL WHITE

Background Papers: NPA/AG/18/010

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

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

Additional control measures planned

Organisational Development Strategy "Developing Team Dartmoor" has a specific focus on improving internal communication and employee engagement. New staff survey introduced in 2015 which was repeated in 2017 indicating increased employee engagement. Six monthly meetings between LT & TWS introduced to share strategic direction, key developments, political and financial context. Improved staff induction process in 2016/17 including Team Dartmoor 'charter'. Communication methods constantly reviewed and mixture of written and face to face utilised. Need to consider how we keep Members informed and receive feedback from them about the views and issues that are communicated to them. Leadership Team will keep a focus on this issue.

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

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

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P2	Inadequate external communication and community engagement				
	Consequence if no action Damage to reputation. Poor support from community, business & stakeholders Lack of understanding of the value of DNPA and the work it does Confusion with other organisations Projects not supported as no 'buy-in' from stakeholders	Communications strategy implemented through developing a forward plan. Supporting communication tools include: Media briefings & releases. Authority publications. Authority Website Variety of forums Social media and targeted e-newsletters Surveys	3	3	9
Additional control measures planned					
Communications & Community engagement are priorities for the Authority. Refreshing the communications strategy to develop a forward plan and manage reputational issues. Supporting the development of better national communications through collaborative working and shared work on the development of the UK Brand and associated work. Residents' survey undertaken in 2013 and 2017. Results were used to improve communication with local residents. The residents' survey is due to be repeated in 2019/20 (following the pattern of three year intervals) but has not been budgeted for due to pressures on the revenue budget and we will be looking at other ways to provide resident/community feedback. We now have an online planning satisfaction survey with a link provided to all users of the planning service (from pre-application to formal planning applications). Increased presence at Parish meetings and local special interest groups – need to consider process for briefing in advance of the meetings and how we feedback after the meetings. Continue with supplying content in parish/community magazines/newsletters and quarterly newsletter Moor Life to improve awareness and understanding of our work.					
Resources required: Staff time will be needed to communicate and engage with local residents and prepare materials					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome A greater understanding of what DNPA does in relation to Dartmoor the place, so people value and support the work we do A good reputation as an organisation that listens and understands Excellent relationships with our communities and stakeholders Promoting understanding and enjoyment of Dartmoor's special qualities Ensure staff are able to contribute and feel valued					

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P3	Inadequate Information Management and Information Technology System failure. Inadequate Business Continuity Planning.				
	Consequence if no action Non compliance with legislation. Inability to provide core services. Loss of reputation. Impact on service delivery. Breakdown of communication. Delays/failure to update records.	ICT systems and data backed up daily and copies stored off-site. Document Management System implemented for electronic storage of paper records. Disaster Recovery Plan in place, and critical elements tested Alternate venues/home working available in the event of loss of office accommodation Virtualised servers and desktops speed up recovery times – Security patches and upgrades regularly applied to the firewall and virtual servers	2	2	4
Additional control measures planned					
We are currently implementing a daily online backup of our systems at Parke to a datastore at our Princetown site, to improve disaster recovery and reduce our reliance on backup tapes. This work should be complete by summer 2019.					
Resources required Staff Time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	2	4
Outcome Continuous business efficiency in the event of systems failure or major emergency affecting operational buildings					

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P4	Inadequate focus on Performance Management (including customer service)				
	Consequence if no action Individual and organisational performance not monitored. Low achieving Authority Unclear targets and objectives. Resources not targeted Reputational risk for the Authority. More complaints.	Business Plan & Annual Review Organisational Development Strategy Service planning/Service dashboards Audit & Governance Committee with clear remit to monitor and challenge performance. Suite of PIs that are focused on delivering against the Business Plan Parke House Project Management and staff trained maintaining focus on effective project management Robust and highly visible process for monitoring of key actions in the Business Plan. Detailed and thorough performance reporting and analysis by Leadership Team and Audit & Governance. Performance Improvement Policy Customer Service Standards Lessons learnt from complaints	3	3	9

Additional control measures planned
Terms of reference for Audit and Governance Committee reviewed and updated (2018). Assurance & Governance training provided to members (Dec 2017) to help with their role to challenge, scrutinise and gain assurance, especially in areas such as audit, finance, performance and governance

Resources required: Staff time

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

Outcome
Good performing organisation, with evidence of continuous improvement

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

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/stakeholders to deliver on the actions in the Management Plan				
	Consequence if no action Management Plan actions not undertaken Ambitions not delivered	Extensive engagement with partners and stakeholders in development of the current NPMP. This is being replicated as we review the NPMP through a series of 'Dartmoor Debates', public consultation and the annual Steering Group meeting. The review is focusing on developing a shared vision for the future management of the National Park and to use this vision to guide partnership working (to deliver the vision)	3	3	9
Additional control measures planned					
Strategic Planning & Projects Officer appointed to project manage this work.					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome Clear agreed vision for the National Park Actions to achieve the Vision shared and owned by delivery partners Clear process for monitoring delivery and assessing progress towards the Vision					

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: PERFORMANCE

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

Additional control measures planned
New structure established for Planning Service to provide effective leadership, management and increased capacity at officer level. Service level agreement for provision of legal services in place.

Resources required: Staff time

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

Outcome
Major applications are dealt with in a timely way
The performance agreement will allow time to be taken to achieve a quality outcome

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

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	**Risk Description** 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 and Leadership Team. Corporate Risk Management Steering Group (Leadership Team). Operational Risk Management via work programmes/projects. Internal and External Auditors base their work / review programmes on a Risk Based approach Annual Governance Statement following review of all governance arrangements. Health, Safety & Wellbeing Committee SLA with TDC to provide operational H&S support and compliance. SLA with PDNPA (2017-2020) in place to provide strategic advice and joint working with other NPAs. Risk assessment training provided regularly to relevant officers and further training available. H&S training provided at induction	2	3	6

Additional control measures planned
Reviewed health and safety management in 2016/17; revised SLAs with TDC and PDNPA from 2017/18.
All members of LT have completed IOSH 'Leading Safely' course: Head of Organisational Development (June 2017); Head of Business Support (2018); Chief Exec, Director of Conservation & Communities, Head of Comms & Fundraising (April 2019)
Increased focus on strategic management of occupational health and safety – key competencies and KPIs being developed.
Health & Safety training provided (April and Nov 2018); H&S training plans being developed, including risk assessment training in 2019/20.

Resources required: None

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

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: STRATEGY

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

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

Risk Category: STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S3	Managing officer workload. Our challenge will always be to ensure we set realistic work programmes but also improve organisational 'productivity'				
	Consequence if no action Failure to deliver corporate objectives. High stress levels and staff absence. Targets/improvement not achieved Staff unclear of roles & responsibilities in new structure	Officers (particularly middle managers) fully involved in developing the Authority's Business Plan and thus shaping work programmes HR Policies; Business Plan, Appraisal process – identifying clear priorities and work programmes for individuals, teams and the Authority as a whole – through manager and staff engagement. Implementation of the OD Strategy. Good internal communications/staff survey /feedback channels/liaison with representatives. Support to managers and focus on developing management skills. Proactive attendance management; provision of Employee Assistance Programme; OH service. Quarterly review at LT identifying pressure points and where additional support may be required. Provision of Project Fund within the budget to enable in-year bids for additional resource.	3.	5	15

Additional control measures planned
Skills Development Training for all Line Managers delivered Nov/Dec 2017. Further personal development sessions provided to staff in 2018/19. Absence Management Training (ACAS) planned for May 2019

Resources required: Staff time and resources to deliver an effective programme.					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			3	5	15

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S4	Workforce planning/resilience: limited capacity to cover for absences of key posts. Difficulty to recruit to certain posts.				
	Consequence if no action Reduced capacity/productivity Service pressures could lead to 'bad' decisions and high stress levels Poor performance Increase in complaints Contracts and obligations not fulfilled	Active staff management and support through a mixture of: • Project Fund enabling flexibility to buy-in support as required • Staff support e.g. Occupational Health, EAP; counselling etc. • Increased joint working with other Local Authorities and partners • Some SLAs in place (Finance, ICT, Payroll, H&S, Legal) • LT regularly review workforce planning and impact of staff absence • LT strategic meetings consider future work programmes / direction of travel	5	5	25

Additional control measures planned
This will remain an area of high risk given the size and scope of our organisation and operations. Senior Officers, service managers, project officers and specialist staff are fundamental to our performance and success as an Authority, therefore any significant absences can have a real impact on delivery.

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

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

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S5	Superfast Broadband Project (Connecting Dartmoor & Exmoor NPAs) – risks associated with project for DNPA				
	Consequence if no action Staff capacity to manage planning applications Planning application sites not in keeping with policy, local opposition and potential for DNPA to refuse – project delayed Reputational risk arising from DNPA planning seen to be preventing project progress Technologies not working effectively Communities not taking up broadband Coverage not meeting Govt target of 96% by end of 2017 Financial loss if project not delivered: £65k match funding committed	A close of project report will be presented to the Authority in June 2019. It is proposed that this risk is then removed from the risk register.	2	5	10
Additional control measures planned					
Effective project management (Red) - regular updates to Leadership Team throughout					
Resources required: Staff time to manage project (Communities Officer) and planning officer time to advise on and process planning applications					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
Project delivered on time with effective communications to all stakeholders throughout					

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

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
S6	**New Visitor Centre at Postbridge**				
	Consequence if no action Failure to secure the full funding bid. Costs of the construction escalating once the project is tendered. Cost of construction escalating once on site due to unforeseen conditions. Staff capacity to deliver	Risk register to identify risks, risk rating and mitigation/controls Engagement of external professionals to support project management and build Project Plan identifies exit points linked to most significant risks Separate contract for interpretation to mitigate risk to Landscape Partnership Project Team established to monitor and manage progress with member involvement, chaired by NPS appointed to provide specialist project management and construction expertise. Head of Communications & Fundraising (leading on project delivery) Funding bid and liaison with RPA managed by Head of Communications and Fundraising Head of Business Support (S151 Officer) also on team to ensure financial risks are controlled	4	5	20

Additional control measures planned
Effective project management given challenging timeframe and financial circumstances with regular updates to Leadership Team and Members throughout. Multiple exit points built into the project plan to mitigate risk and financial loss

Resources required: NPS commissioned to provide specialist project management. Oversight of the project is within the work programme for the Head of Communications and Fundraising. Project Team (staff and Member) time to manage and deliver project

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

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: FINANCE

Risk Ref F1	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Potential for further reductions in National Park Grant (NPG) which is still our main source of income				
	Consequence if no action Insufficient funds to meet statutory requirements and delivery of National Park Purposes. Failure to meet Performance Targets	Authority has set a balanced budget for 2019/20. This is the last year of our spending review settlement. A new comprehensive spending review is anticipated in 2019/20.. Ongoing workforce and resource planning to match revenue and resources to deliver outcomes Developing new strategies and ideas to generate other income streams, to reduce reliance on NPG Robust level of Reserve Balances maintained Strong budget management and procurement performance and evidence of using resources efficiently and effectively	4	5	20

Additional control measures planned
We are taking steps to diversify our income streams (e.g. introduction of car park charging and external fundraising initiatives such as Moor Otters) but our ability to generate income is limited by our lack of assets from which to trade/generate income and the fact that we are a public authority charged by Parliament with providing public services.

Resources required: Officer time			

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

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: FINANCE

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

Risk Description header cell also contains: **Inadequate financial management**

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

Resources required: Staff time and training resources

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

Outcome
Financial outturn on target

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: FINANCE

Risk Ref F3	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Appeals, Public Enquiries and enforcement action could expose the Authority to considerable financial risks and create poor PR				
	Consequence if no action Bad decisions that damage Dartmoor Additional costs and significant budget overspend Loss of public confidence Poor PR	Head of Development Management reviews all appeal files to learn lessons; reporting to LT and Members External legal advice and support obtained where necessary Good Practice Guide for Members and officers (planning) and appropriate training Enforcement Policy	3	5	15

Additional control measures planned
Procure expert input when necessary Clear project management arrangements for high profile cases Clear operational procedures to support Enforcement Policy

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

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F4	*Moor than meets the eye* Heritage Lottery Fund Landscape Partnership Scheme: risk to the Authority as lead partners regarding cash flow, reputation and fixed term contract staff retention in the final year				
	Consequence if no action Reputational damage if the scheme is not delivered on time and to budget Potential cash flow issues for the Authority if the scheme is not delivered on time and to budget Reputational issues for the Authority as lead partners if local community not engaged and supportive of all projects Inability to deliver central Scheme support and obligations if core staff leave within their final year of their fixed term contracts (increasing probability as 31 December 2019 approaches)	Scheme Manager appointed with strong project management experience. Continued dialogue through quarterly monitoring meetings with Community Stakeholders Group, Landscape Partnership Board, HLF and project Leads to share Scheme, Project and risk management Agreed Communications Strategy and Plan implemented and reviewed yearly. Some slippage has occurred, implications are discussed and revisions agreed with Board and partners. Quarterly Landscape Partnership Board, HLF Monitoring and budget monitoring with Head of Business Support. Detailed performance reports to Audit & Governance Committee and yearly review to Authority in December DNPA (and other Partners) to consider succession planning and potential future roles for the core team (LCAP 'Sustainability' extract: "…*the core team's skills would be such that they would be a valuable asset to any employer. The core management team will be employees of DNPA, and afforded all the protection that such a public sector position affords. Each will be entitled to redeployment opportunities that may exist within the organisation.*")	3	5	15

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Additional control measures planned			
Scheme Manager to focus on strategic delivery of the Scheme – to include finance and performance management. Changes and risk to delivery identified early. Risk to be continually monitored. Role of Landscape Partnership Scheme Board is strategic.			
Resources required: Staff time and financial resources			
Planned Residual Risk	**Probability (5=high, 1=low)**	**Severity (5=high, 1=low)**	Planned Residual Risk Rating
	3	4	12
Outcome Prompt action when slippage or new risk identified resulting in successful delivery of the scheme.			

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: GOVERNANCE

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G2	Inadequate procurement practice				
	Consequence if no action Failure of partners/contractors Schemes not delivered on time or over budget. Damage to reputation. Value for Money not achieved Sustainability principles not applied Procurement rules not followed providing opportunity for challenge	Service level agreement with Devon Procurement Service to provide procurement support Standard set of templates, terms and conditions etc kept up to date by DPS (on sharepoint site) Use of e-procurement portal Member of Devon & Cornwall Procurement Partnership. Financial appraisal. Risk Assessments. Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Procurement training Contract management Contractor Vetting & Insurance Project Management Training	2	3	6
Additional control measures planned					
On-going staff training on procurement rules and procedures and project management					
Resources required					
Staff time and potentially resources if purchasing is to adopt more sustainable principles					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
All procurement undertaken within policies, procedures & legislation					

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: GOVERNANCE

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2019/20

Risk Category: GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G5	Changes in legislation/failure to implement new legislation or policy				
	Consequence if no action Financial cost/budget difficulties. Requirement to revise working practices or introduce new systems. Potential compliance difficulties. Financial impact if the Authority cannot effectively respond promptly	The National Park Authorities ' Legalnet', South West Employers (HR) XpertHR online subscription Technical Support subscription (Finance) and member of Devon Accounting Group External Legal Services provision Various on-line alerts Up-dates and policy work via National Parks England and various Professional network groups	2	3	6
Additional control measures planned					
Various legislation relating to planning to be monitored closely by Head of Development Management and Head of Forward Planning & Economy					
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