DARTMOOR NATIONAL PARK

ANNUAL INTERNAL AUDIT REPORT 2017/18
and
PROPOSED INTERNAL AUDIT PLAN 2018/19

Section 1 - ANNUAL INTERNAL AUDIT REPORT 2017/18

1   INTRODUCTION

1.1   The following report sets out the background to audit service provision, review work undertaken in 2017/18, 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 Accounts 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 Internal Auditor 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 2017/18;

- 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 2017/18

4.1   Devon Audit Partnership carried out a review of the Authority's Financial Systems in October and November 2017 and presented our final report to the Audit and Governance Committee meeting held in February 2018.

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 involving purchasing which we discussed with senior management. The first concerned the stock control system in operation at Princetown Visitor Centre which saw an element of duplication in processing using the "Bleep" system and FINEST ledger system.   Management proposed taking steps to streamline these processes, which we agreed with.   The other issue highlighted in our report dealt with the recording of verbal quotations received when making purchases between £1,000 and £2,500.   Officers agreed to annotate purchase order forms in future, to record details of all quotes obtained. These recommendations would further enhance already sound procedures and have been fully implemented.

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 2017/18 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 2017/18.

5.4   Overall, and based on work performed during 2017/18, 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 2018/19

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 2018/19 allows for up to 22 days of internal audit support, an increase of 2 days to enable a review of the on-going implementation of the new Data Protection Act 2018 requirements.

3.2 All but one of the remaining 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 2019 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.

devon audit partnership

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
Risk Based	
Data Protection Act Implementation Health Check	2
Other Work	
Planning / attendance at Audit & Governance Committee	1
Total days	**22**

5.2   The cost of these 22 days will be £6,160 (plus VAT). Additional support will be provided as and when required. Our standard daily rate for this work will be £280, 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).

5.3   At the time of writing, the Data Protection Health Check was underway with the auditor visiting the Authority's Parke offices to find out how prepared the organisation are for the introduction of the new Data Protection Act on 25th May 2018. Initial indications show that the Park Authority is well placed to meet with the requirements of the new legislation.

Robert Hutchins
Head of Devon Audit Partnership
May 2018

Dartmoor National Park Authority

INTERNAL AUDIT STRATEGY (March 2018)

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 Internal Auditor, 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 Internal Auditor is provided by the Head of Devon Audit Partnership.

The PSIAS require the Head of Devon Audit Partnership to produce an 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 see over).

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, are 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
- executive management.

The results from our feedback will be reported to Senior Management and the Audit & Governance Committee in the half year and annual reports.

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 92% of the elements; partially meet 5.5%; and are not required to or do not meet 2% (seven) 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 Internal Auditor (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.26 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 and Contracts Audit 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 January 2018) includes:-
- 3 x CCAB qualified
- 6 x qualified IIA (including QICA – computer audit)
- 1 x studying for IIA
- 11 x AAT qualified
- 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

April 2018

Auditing for achievement

Dartmoor National Park Authority

INTERNAL AUDIT CHARTER (March 2018)

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 Internal Auditor". 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

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:

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:

(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 Auditor at the Authority and will confirm to the Audit 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 Internal Auditor) 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

April 2018

Auditing for achievement

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT AND GOVERNANCE COMMITTEE

25 MAY 2018

2017/18 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 2017/18 revenue surplus of £78,605 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 3.4 (table 6) 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 forecast outturn.

2   The 2017/18 Financial Outturn

2.1   A summary of the financial outturn as at 31 March 2018 can be found at Appendix 1 with a more detailed cost centre analysis at Appendix 2. After transfers, to and from, reserves the outturn surplus is £78,605. (A surplus of £93,457 was forecast at month 9). A detailed variance analysis is provided at Appendix 3.

2.2   The Authority has once again proved successful in generating additional income; the most significant variations against budget worth noting are set out in table 1 below:

Table 1:

Income - main variations	Target Budget £	Total Received £
Moor Otters Public Arts Project (net surplus)	0	(60,000)
Land: filming, wayleaves and HLS	(4,069)	(9,898)
Donate For Dartmoor	0	(18,295)
Donations (via car park cairns)	(10,000)	(16,124)
Car Parking charges at Princetown	(18,000)	(24,480)
Retail sales at the Visitor Centres	(165,000)	(194,715)
Historic England - Adopt a Monument	0	(4,500)
Historic England - Upper Erme Survey	0	(9,000)
MOD - Kitty Tor to Rattlebrook track repairs	0	(5,000)
Farm Environmental Plans - fees charged	(500)	(7,000)
Custom/Self-build/Brownfields sites Register funding from MHCLG	0	(35,485)
Other fees and charges and cost recovery	0	(15,423)
National Parks Partnerships rebate (offsetting 2017/18 contribution)	0	(10,000)

2.3 Staff turnover (in-year) and holding two vacancies for almost all of this year has resulted in a total salary budget saving of £63,526. It should be noted that additional capacity has been brought in during the year via: temporary employment contracts (backfilling); contracts with other local authorities; use of agency staff; and by offering existing staff additional hours (and new opportunities). The Planning and Ranger Services have also been restructured.

2.4 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 wok. Subsequently significant service area expenditure variations are listed in table 2 below (more detail can be found at Appendix 3:

Table 2:

Expenditure budget - main variations	Under spend £	Over spend £
Land Management: • Pony support - not utilised • Farming Year films - carry forward	(2,500) (20,000)	

Expenditure budget - main variations	Under spend £	Over spend £
Access: • Timing of renewal of access agreements (in negotiation)	(4,800)	
Public Rights of Way: • Nun's Cross path repairs being met from Donate for Dartmoor funds received in 2016/17 & held in reserves		16,497
Tourism: • Contribution towards the Discover England funded project "Make Great Memories in England's National Parks"		7,500
Visitor Centres: • Running costs • Stock purchase (for resale)		8,000 5,000
Communications: • Information Boards • Key campaigns, sponsorship and PR etc Reflecting vacancy and delivery of Moor Otters Project	(7,000) (10,000)	
Conservation Works: • Training, H&S, uniform & equipment Reflecting recruitment of apprentices, part offset by HLF grant income	(2,500)	7,500
Development Management: • Enforcement, appeals and legal related costs • Service running cost savings	(9,700)	24,827
Forward Planning: • Communities Fund - grants awarded not yet paid and to be carried forward • National Park Management Plan review - carry forward	(64,683) (16,000)	
Corporate & Democratic Core: • South West Partnership for Environmental & Economic Prosperity (SWEEP) contribution - carry forward • Audit rebate and S151 contract savings	(10,000) (3,940)	
Information Technology: • Windows server & Exchange server licences/upgrades		14,000
Corporate Operating Costs: • Insurance • Professional property services • Running cost savings	(1,800)	5,500 2,700
Human Resources: • Staff training • Health & Safety • Staff Well-being & DBS checks	(1,500)	4,000 3,000 2,300

Expenditure budget - main variations	Under spend £	Over spend £
Premises: Parke & Princetown • Building repairs and decoration • Utilities & running costs		10,700 3,795

2.5 The Project Fund (unallocated) budget of £103,944 was approved by the Authority at the start of the year. In-year allocations from the Fund are set out in table 3 below. Some allocations have not yet been fully spent and are therefore included in the carry forward requests set out in section 3.4 of this report.

Table 3:

	£
Opening Balance	**103,944**
CAMS web/hosting*	(6,761)
Large format plotter / scanner	(6,699)
Software Licences	(2,289)
Website support (CF/GL etc)	(500)
Volunteer co-ordinator post in HR	(12,398)
SAN	(27,591)
Princetown Depot clearance	(7,825)
Higher Uppacott*	(22,483)
Cycle South Dartmoor feasibility study contribution	(2,000)
Princetown portico repairs	(4,879)
Meldon Interpreted	(2,600)
SWEEP*	(20,000)
Staff capacity at Visitor Centres	(2,000)
Farm income on Dartmoor report	(1,800)
Life & Traditions of Dartmoor Commons leaflet	(350)
Historic Buildings - staff capacity for Planning work*	2,490
Add back unused budget:	
Business Support salaries	6,000
Car park repairs	22,525
Balance remaining	**9,804**

*Items subject to carry forward requests

2.6 The Authority is now in the third 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 Manager is line managed by the Director of Conservation and Communities and reports to the Landscape Partnership Board (Mrs Woods represents the Authority on the Board) and to the HLF. 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.

2.7 In June 2016 (NPA/16/020) Members approved an "Invest to generate initiative" - a public arts project, subsequently named " Moor Otters", with the aim to engage the

public, support the local economy, promote positive key messages and potentially bring additional income. Members set aside £140,000 in reserves to fund the project up-front, with the aim to generate sponsorship, auction sales and donations to at least break-even, but potentially to also generate a good financial return. The project was a huge success and Members received a full report in December (NPA/17/ 042). The income generated covered all of the running costs and generated a net surplus of £60,000 that has been allocated to three areas of work in the Medium Term Financial Plan and is therefore being carried forward via reserves for:

- Junior Rangers: £20,000 over two years
- Invasive Non-native Plant Control: £20,000 over two years
- Repairs to Erosion: £20,000 over two years

3   Reserve Balances

3.1   The net transfer from Reserves as at 31 March is £98,279 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 the following table (4) and the detail can be found at Appendix 4 and in tables 5 and 6 below.

Table 4:

Reserve Balances	£
1 April 2017 Opening Balance	2,604,071
Reserves used in year (table 5)	(321,443)
Transfers to reserves at year-end for specific purposes (table 6)	419,722
Total Reserves at 31 March 2018	**2,702,350**

3.2   The General (unallocated) Reserve will be maintained at £450,000 as previously approved by the Authority in March 2016 (NPA/16/009) and is included in the table above.

3.3   These balances are determined in part by our on-going work programmes and projects and by our normal risk based analysis and methodology as set out at Appendix 5.

3.4   Full details of the in-year movements and the transfers to and from Earmarked are set out in in tables below:

Table 5:

Transfers and brought forward balances from Earmarked Reserves	£
Dartmoor Hill Farm Project: part balance	4,486
Grant from Dartmoor Trust: contribution towards the Historic Environment Record	4,000
Naturally Healthy Dartmoor Project: grant balance and contribution	21,410
Local Plan Review - planned work for 2017/18	43,000

Transfers and brought forward balances from Earmarked Reserves	£
Local Plan Review - outstanding contracts (Landscape character assessment, Plymouth Housing Market Area sub-regional study, affordable housing supplementary planning document, Demographic & housing data advice)	31,319
Donate for Dartmoor: allocated to Nun's Cross Path repairs	16,644
Planning & Farming & Wildlife Advisors posts - Project Fund Balance	78,267
Residents' Survey - contract commitment	5,000
All Moor Butterflies - partnership contribution	5,000
Communities Fund Balance - awarded not paid	105,417
Greater Dartmoor Leaf - partnership contribution	6,900
Total	**321,443**

Table 6:

Transfers and carry forward balances to Earmarked Reserves	£
Hill Farm Project: grant balance	1,071
Communities Fund Balance - awarded not paid	64,863
Grants from MHCLG: Self/ Custom build Register & Brownfields Site Register	35,485
Donate for Dartmoor: to be allocated and spent in 2018/19	18,295
Grants from Historic England: Upper Erme Survey and Adopt a Monument	9,000 4,500
MOD: Kitty Tor to Rattlebrook track repairs	5,000
Local Plan Review - outstanding contracts (Strategic Environmental Assessment, Habitat Regulations Assessment, Housing Strategy & Viability Assessment))	33,360
Farming year films	20,000
National Park Management Plan Review	16,000
Pay & Display parking machines	15,745
New Interpretation Boards	3,324
SWEEP (project fund)	10,000
CAMS web & hosting (project fund)	3,558
Historic Buildings - staff capacity for Planning work (project fund)	605
Higher Uppacott - building works (project fund)	11,000

Transfers and carry forward balances to Earmarked Reserves	£
Moor Otters - net surplus	60,000
2017/18 Outturn surplus	78,605
Total	**419,722**

4   Capital Programme and Prudential Indicators

4.1   The Authority had no capital expenditure in 2017/18. The Authority has no plans for external borrowing and therefore the prudential indicators do not apply.

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 at that meeting concurred with the GT Auditors and considered their approach to be sensible, pragmatic and very welcome and the note was subsequently removed from the accounts in 2013/14.

5.4   Management continues to consider this issue on a regular basis and have come to the following conclusions for 2017/18:

- 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
- The Authority has adequate reserve balances – if a worst case scenario occurred
- A contingent liability note in respect of this issue should not be included in the 2017/18 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 Accounts and Audit Regulations 2015

6.1 The deadline for the 2017/18 unaudited Statement of Accounts to be "authorised for issue" by the Chief Financial Officer is 31 May (used to be 30 June); the 2015 regulations now fully apply, after have two years trial run. The Terms of Reference of this committee have been amended and approved by the Authority so that the Outturn can be approved today. However the Statement of Accounts and the Audit Findings Report will be presented to the Authority for approval on 27 July 2018 in order to meet the new 31 July deadline (previously 30 September).

7 Sustainability and Equality Impact

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

8 Conclusions

8.1 The outturn surplus of £78,605 represents a minus 1.97% variance against the 2017/18 budget (£5,822 a minus 0.15% variance in 2016/17). If the position changes between now and the conclusion of the Audit Members will be informed, but no further significant variations are anticipated at this time.

8.2 Considering the Authority's ambitious and often diverse work programme and the record of achievement and performance reported elsewhere on this agenda, 2017/18 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.

8.3 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
- successfully undertaking a public arts initiative that generated a net surplus of £60,000
- 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

8.4 Our performance monitoring and reporting framework: consisting of the Medium Term Financial Plan, the Business Plan, Performance Indicators, the Strategic Risk Register and Service "Dashboards" helps us to maintain robust operational and financial management and guard against unplanned expenditure, loss of income and programme slippage.

8.5   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/17/003 - Financial Management 1April to 30 September 2017
NPA/AG/18/001 - Financial Management 1 April to 31 December 2017
NPA/17/017 – Financial Outturn 2016/17
NPA/17/008 – 2017/18 Net Revenue Budget, Medium Term Financial Plan & Capital Budget
NPA/17/009 – 2017/18 Treasury Management & Investment Strategy

Attachments: Appendix 1   2017/18 Financial Outturn Summary
Appendix 2   2017/18 Financial Outturn detail by cost centre
Appendix 3   2017/18 Outturn Variances
Appendix 4   Reserve Balances
Appendix 5   Risk Based Analysis of Reserve Balances

20180525 DH 2016-17 Outturn

FUNCTIONAL STRATEGY	2017/18 Original Budget £	2017/18 Budget Variation £	2017/18 Revised Budget £	2017/18 Outturn Net Expenditure £	2017/18 Year End Deficit/ (Surplus) £
Biodiversity	94,775		94,775	90,216	(4,559)
Land Management	83,276	9,975	93,251	61,406	(31,845)
Woodlands	46,094		46,094	41,941	(4,153)
Hill Farm Project	20,557		20,557	19,629	(928)
Directorate Costs	6,000		6,000	1,280	(4,720)
NATURAL ENVIRONMENT	250,702	9,975	260,677	214,472	(46,205)
Archaeology	98,947		98,947	80,109	(18,838)
Built Environment	39,374	2,490	41,864	42,639	775
Higher Uppacott	27,064	8,483	35,547	39,981	4,434
CULTURAL HERITAGE	165,385	10,973	176,358	162,729	(13,629)
Visitor Management	153,362	612	153,974	114,931	(39,043)
Access	106,093		106,093	79,824	(26,269)
Public Rights of Way	103,790	6,761	110,551	117,488	6,937
Sustainable Transport & Tourism	18,407		18,407	26,664	8,257
RECREATION MANAGEMENT	381,652	7,373	389,025	338,907	(50,118)
Visitor Centres	180,316	2,000	182,316	147,050	(35,266)
Discovering Dartmoor's Wild Stories	0		0	4,024	4,024
Communications	201,867	5,500	207,367	181,004	(26,363)
Moor Otters Public Arts Project	0		0	(89,311)	(89,311)
Naturally Healthy Dartmoor Project	9,983		9,983	16,476	6,493
Education	128,148		128,148	123,215	(4,933)
PROMOTING UNDERSTANDING	520,314	7,500	527,814	382,458	(145,356)
Rangers	429,628		429,628	426,429	(3,199)
Conservation Works Service	241,139		241,139	235,125	(6,014)
RANGERS, ESTATES & VOLUNTEERS	670,767	0	670,767	661,554	(9,213)
DEVELOPMENT MANAGEMENT	311,418	6,699	318,117	328,417	10,300
FORWARD PLANNING & COMMUNITY	277,277	136,736	414,013	266,706	(147,307)
CORPORATE & DEMOCRATIC CORE	309,360	20,000	329,360	288,029	(41,331)
Information Technology	174,735	29,880	204,615	216,458	11,843
Corporate Operating Costs	119,253		119,253	123,563	4,310
Finance & Administration	178,523	(6,000)	172,523	172,142	(381)
Legal Services	101,354		101,354	123,381	22,027
Human Resources	133,260	12,398	145,658	154,731	9,073
Office Accommodation (Parke)	101,797	8,000	109,797	112,853	3,056
Office Accommodation (Princetown)	46,542	(3,121)	43,421	52,896	9,475
SUPPORT SERVICES	855,464	41,157	896,621	956,024	59,403
Project Fund	103,943	(94,140)	9,803		(9,803)
TOTAL NET EXPENDITURE	3,846,282	146,273	3,992,555	3,599,296	(393,259)
FUNDED BY:	£			£	£
National Park Grant	(3,697,575)		(3,697,575)	(3,697,575)	0
Transfers from Reserves (table 5 of report)	(148,707)	(146,273)	(294,980)	(321,443)	(26,463)
Transfers to Reserves (table 6 of report)			0	341,117	341,117
TOTAL	(3,846,282)	(146,273)	(3,992,555)	(3,677,901)	314,654
NET BUDGET (SURPLUS) / DEFICIT	0	0	0	(78,605)	(78,605)

2017/2018 OUTTURN	Salaries	Travel Subsistence & Transport	Premises	Supplies & Services	GROSS EXPENDITURE	Grants	Treasury	Fees Charges & Rents	Sales	INCOME	NET EXPENDITURE
	£	£	£	£	£	£	£	£	£	£	£
Biodiversity	71,679	603		22,342	94,624	(4,408)				(4,408)	90,216
Land Management	43,627	192		27,485	71,304			(9,898)		(9,898)	61,406
Woodlands	39,064	1,757		1,347	42,168			(228)		(228)	41,940
Dartmoor Hill Farm project	40,755	2,186		13,261	56,202	(34,019)		(2,553)		(36,572)	19,630
Directorate Costs		328		952	1,280					0	1,280
NATURAL ENVIRONMENT	**195,125**	**5,066**	**0**	**65,387**	**265,578**	**(38,427)**	**0**	**(12,679)**	**0**	**(51,106)**	**214,472**
Archaeology	113,344	2,006		15,537	130,887	(43,396)		(7,382)		(50,778)	80,109
Built Environment	40,960	343		1,336	42,639					0	42,639
Uppacott		374	45,546		45,920	(4,387)		(1,552)		(5,939)	39,981
CULTURAL HERITAGE	**154,304**	**2,723**	**45,546**	**16,873**	**219,446**	**(47,783)**	**0**	**(8,934)**	**0**	**(56,717)**	**162,729**
Visitor Management	64,152	5,094	11,677	106,219	187,142			(72,211)		(72,211)	114,931
Access & Recreation	64,218	1,270		21,136	86,624	(5,500)			(1,300)	(6,800)	79,824
Public Rights of Way	89,588			72,380	161,968	(43,000)		(1,480)		(44,480)	117,488
Sustainable Transport & Tourism	10,507	652		15,505	26,664						26,664
RECREATION MANAGEMENT	**228,465**	**7,016**	**11,677**	**215,240**	**462,398**	**(48,500)**	**0**	**(73,691)**	**(1,300)**	**(123,491)**	**338,907**
Visitor Centres	197,254	2,055	11,465	139,965	350,739	(3,250)		(5,724)	(194,715)	(203,689)	147,050
Discovering Dartmoor's Wild Stories				4,024	4,024					0	4,024
Communications	157,473	1,198		48,392	207,063			(26,059)		(26,059)	181,004
Moor Otters Public Arts Project				63,175	63,175			(152,486)		(152,486)	(89,311)
Naturally Healthy Dartmoor Project	10,740	38		5,798	16,576			(100)		(100)	16,476
Education	114,505	3,250		10,430	128,185			(4,970)		(4,970)	123,215
PROMOTING UNDERSTANDING	**479,972**	**6,541**	**11,465**	**271,784**	**769,762**	**(3,250)**	**0**	**(189,339)**	**(194,715)**	**(387,304)**	**382,458**
Rangers	357,235	45,047	3,138	21,616	427,036			(607)		(607)	426,429
Conservation Works Service	183,986	19,027	11,720	22,987	237,720	(2,595)				(2,595)	235,125
RANGERS, ESTATES & VOLUNTEERS	**541,221**	**64,074**	**14,858**	**44,603**	**664,756**	**(2,595)**	**0**	**(607)**	**0**	**(3,202)**	**661,554**
Development Management	437,933	5,045		77,005	519,983			(191,566)		(191,566)	328,417
DEVELOPMENT MANAGEMENT	**437,933**	**5,045**	**0**	**77,005**	**519,983**	**0**	**0**	**(191,566)**	**0**	**(191,566)**	**328,417**
Forward Planning & Community	169,783	1,052		144,301	315,136	(48,425)		(5)		(48,430)	266,706
FORWARD PLANNING & COMMUNITY	**169,783**	**1,052**	**0**	**144,301**	**315,136**	**(48,425)**	**0**	**(5)**	**0**	**(48,430)**	**266,706**
Corporate Centre	207,933	5,100		61,440	274,473		(10,616)	(29,963)		(40,579)	233,894
Members				54,135	54,135					0	54,135
CORPORATE & DEMOCRATIC CORE	**207,933**	**5,100**	**0**	**115,575**	**328,608**	**0**	**(10,616)**	**(29,963)**	**0**	**(40,579)**	**288,029**
Information Technology	135,611	1,672		81,900	219,183			(2,725)		(2,725)	216,458
Corporate Operating Costs		5,278		118,554	123,832			(270)		(270)	123,562
Finance & Administration	161,644	221		10,277	172,142					0	172,142
Legal Services	118,222	307		10,346	128,875			(5,494)		(5,494)	123,381
Human Resources	106,217	932		49,689	156,838			(2,107)		(2,107)	154,731
Office Accommodation (Parke)	21,963		94,374		116,337			(3,484)		(3,484)	112,853
Office Accommodation (Princetown)			75,043		75,043			(22,147)		(22,147)	52,896
SUPPORT SERVICES	**543,657**	**8,410**	**169,417**	**270,766**	**992,250**	**0**	**0**	**(36,227)**	**0**	**(36,227)**	**956,023**
					0					0	0
NET EXPENDITURE	**2,958,393**	**105,027**	**252,963**	**1,221,534**	**4,537,917**	**(188,980)**	**(10,616)**	**(543,011)**	**(196,015)**	**(938,622)**	**3,599,295**

FUNDED BY:	£
NATIONAL PARK GRANT	(3,697,574)
TRANSFERS FROM RESERVES	(321,443)
TRANSFERS TO RESERVES AT YEAR END	341,117
NET BUDGET SURPLUS	**(78,605)**

2017/18 OUTTURN VARIANCE ANALYSIS	Salaries £	Travel & Subsistence & Transport £	Premises £	Supplies & Services £	Expenditure Overspend (Underspend) £	Grants £	Sales Fees & Charges £	Income Deficit (Surplus) £	Total Variance Deficit (Surplus) £	Explanation
Biodiversity	(182)	(497)		(4,904)	(5,583)	1,024		1,024	(4,559)	Original budget did not properly reflect timing of some partnership projects
Land Management	1,381	(358)		(27,039)	(26,016)		(5,829)	(5,829)	(31,845)	Pony Suppport budget underspend & income from DCC - use of DNP land. Farming Films budget is to be carried forward
Woodlands	(11)	(263)		(3,651)	(3,925)		(228)	(228)	(4,153)	Works not progressed
Dartmoor Hill Farm project		(1,172)		(3,548)	(4,720)			0	(928)	This Project budget is balanced over 3 years via balances held in earmarked reserves
Directorate Costs									(4,720)	Costs allocated direct to other services
NATURAL ENVIRONMENT	**1,188**	**(2,290)**	**0**	**(39,142)**	**(40,244)**	**1,024**	**(6,985)**	**(5,961)**	**(46,205)**	
Archaeology	327	(1,194)		3,161	2,294	(14,250)	(6,882)	(21,132)	(18,838)	Peatland Bibliography project, costs to be offset by partners. Income from Farm Environmental Plans - Countryside Stewardship Scheme. Grant income from Historic England to be carried forward
Built Environment	(604)	43		1,336	775			0	775	
Uppacott		373	10,000		10,373	(4,387)	(1,552)	(5,939)	4,434	MTMTE project costs and grant income. Business rates / council tax saving.
CULTURAL HERITAGE	**(277)**	**(778)**	**10,000**	**4,497**	**13,442**	**(18,637)**	**(8,434)**	**(27,071)**	**(13,629)**	
Visitor Management	3,205	1,914	(393)	(31,165)	(26,439)		(12,604)	(12,604)	(39,043)	Additional cover for sickness & holiday absence. Carry forward budget for Pay & display machines. Underspends: key campaigns and other projects. Income: Donations at Car Parks
Access & Recreation	(15,218)	620		(4,871)	(19,469)	(5,500)	(1,300)	(6,800)	(26,269)	Salary saving used to restructure the service and provide additional Ranger hours. MOD grant income to be carried forward
Public Rights of Way	1,728			6,689	8,417		(1,480)	(1,480)	6,937	Nun's Cross Path repairs to be met from Donate for Dartmoor income (see Reserves).
Sustainable Transport & Tourism	1	152		7,254	7,407		850	850	8,257	Contribution toward joint National Park Project: Make Great Memories in England's National Parks
RECREATION MANAGEMENT	**(10,284)**	**2,686**	**(393)**	**(22,093)**	**(30,084)**	**(5,500)**	**(14,534)**	**(20,034)**	**(50,118)**	
Visitor Centres	(11,220)	105	2,259	5,728	(3,128)	(3,250)	(28,888)	(32,138)	(35,266)	Increased stock purchases has generated increased sales income. Grants received towards exhibitions and survey work
Discovering Dartmoor's Wild Stories				4,024	4,024			0	4,024	Project ends March 2019, part funded by HLF.
Communications	(13,255)	448		(16,997)	(29,804)		3,441	3,441	(26,363)	Vacancy savings, post now filled. Training budget not required, Donate for Dartmoor, fundraising & sponsorship budgets under spent due to vacancy. Reduced Advertising income from Enjoy Dartmoor, offset by savings in production costs
Moor Otters Public Arts Project				63,175	63,175		(152,486)	(152,486)	(89,311)	Balance to be carried forward via reserves and offsets prior year costs incurred
Naturally Healthy Dartmoor Project	757			5,736	6,493			0	6,493	Project ended, balance in reserves will cover outturn and fund legacy objectives.
Education	994	(970)		(3,912)	(3,888)		(1,045)	(1,045)	(4,933)	Recruitment of guides and travel budgets not utilised - demand led
PROMOTING UNDERSTANDING	**(22,724)**	**(417)**	**2,259**	**57,754**	**36,872**	**(3,250)**	**(178,978)**	**(182,228)**	**(145,356)**	
Rangers	(3,809)	3,273	(2,012)	(44)	(2,592)		(607)	(607)	(3,199)	Vehicle repair costs being offset by premises running costs and salary savings
Conservation Works Service	(12,519)	3,293	(1,696)	7,504	(3,418)	(2,424)	(172)	(2,596)	(6,014)	In-year vacancies but all posts now filled. Increased Health & Safety, equipment and training costs, some of which will be met from HLF grant income for apprentices. Premises running cost savings offsetting vehicle repairs
RANGERS, ESTATES & VOLUNTEERS	**(16,328)**	**6,566**	**(3,708)**	**7,460**	**(6,010)**	**(2,424)**	**(779)**	**(3,203)**	**(9,213)**	
Development Management	(8,510)	(704)		16,480	7,266		3,034	3,034	10,300	Vacancy saving used to fund temporary staff cover. Planning fee income lower than expected. Specialist legal advice costs for planning application processing. Enforcement and planning appeal related costs not budgeted for and assistance to Steward Wood community
DEVELOPMENT MANAGEMENT	**(8,510)**	**(704)**	**0**	**16,480**	**7,266**	**0**	**3,034**	**3,034**	**10,300**	
Forward Planning & Community	(33,594)	52		(78,275)	(111,817)	(35,485)	(5)	(35,490)	(147,307)	Vacancy savings and reduced hours. Community Fund Cash Balance to be carried forward. Self/custom Build grant and New Burdens Grant income from DHCLG to be carried forward. Oustanding Local Plan Review contracts to be carried forward
FORWARD PLANNING & COMMUNITY	**(33,594)**	**52**	**0**	**(78,275)**	**(111,817)**	**(35,485)**	**(5)**	**(35,490)**	**(147,307)**	
Corporate Centre	3,399	700		(14,851)	(10,752)		(30,579)	(30,579)	(41,331)	SWEEP project costs to be carried forward. Audit fee rebate and external S151 cost savings. Donate for Dartmoor income will be carried forward via earmarked in reserves. NPPL payback.
CORPORATE & DEMOCRATIC CORE	**3,399**	**700**	**0**	**(14,851)**	**(10,752)**	**0**	**(30,579)**	**(30,579)**	**(41,331)**	
Information Technology	(384)	222		14,730	14,568		(2,725)	(2,725)	11,843	Renewal of software licences, new Wi-Fi hub and other hardware replacement. Income: recharge to DPA for work undertaken
Corporate Operating Costs		(1,832)		6,336	4,504		(195)	(195)	4,309	Savings: Pool car running costs, printing & stationery etc. offsetting increased insurance costs and specialist property advice and support costs.
Finance & Administration	(117)	201		(464)	(380)			0	(380)	
Legal Services	24,489	(193)		(1,275)	23,021		(994)	(994)	22,027	External Legal support, specialst legal advice procured and staff exit costs.
Human Resources	1,371	512		9,296	11,179		(2,107)	(2,107)	9,072	Staff training , Health & Safety and Wellbeing costs. Staff cycle scheme costs and income
Office Accommodation (Parke)	(1,755)		4,118		2,363		693	693	3,056	Business rates less than forecast. Premises decorating and repair costs
Office Accommodation (Princetown)			10,373		10,373		(897)	(897)	9,476	External building repairs and decorating
SUPPORT SERVICES	**23,604**	**(1,090)**	**14,491**	**28,623**	**65,628**	**0**	**(6,225)**	**(6,225)**	**59,403**	
Project Fund									(9,803)	Balance remaining
Transfers from Reserves					0			0	(26,463)	
Transfers to Reserves					0			0	341,117	See tables 5 & 6 of the Report for full details
TOTAL VARIANCE	**(63,526)**	**4,725**	**22,649**	**(39,547)**	**(75,699)**	**(64,272)**	**(243,485)**	**(307,757)**	**(78,605)**	

2017/18 GENERAL FUND RESERVE BALANCES

GENERAL FUND RESERVE BALANCES	2017/18 Opening Balance £	2017/18 Transfers Within £	2017/18 Transfers to Revenue in year £	2017/18 Transfers from Revenue at year end £	2017/18 Closing Balance £	Notes
Grants & Contributions with Restrictions						
Dartmoor Hill Farm Project	(20,339)		4,486	(1,071)	(16,924)	2nd Phase of the Project, with match funding, commenced Feb 2017 for 36 Months
English Heritage: White Horse Hill	(20,036)				(20,036)	Towards the Exhibition at Postbridge Visitor Centre (2019)
Communities Fund Grant Balance at year end	(105,417)		105,417	(64,863)	(64,863)	Grants awarded not yet paid out
Naturally Healthy Dartmoor Project 2014-2017	(11,410)		11,410		0	Project complete
DHCLG - Neighbourhood Planning Grant	(5,000)				(5,000)	
DHCLG - Un-ringfenced Grants	(35,495)			(35,485)	(70,980)	Allocated to Planning Service from 2018/19 for 3 years
Dartmoor Trust - 2017/18 contribution for the HER	(4,000)		4,000		0	Utilised in 2017/18
Donate for Dartmoor Balance	(16,644)		16,644	(18,295)	(18,295)	2016/17 donations allocated to nun's Cross Path in 2017/18. Current year donations c/fwd
Historic England Grant: Upper Erme Survey				(9,000)	(9,000)	C/Fwd from 17/18
Historic England Grant: Adopt a Monument				(4,500)	(4,500)	C/Fwd from 17/18
MOD Grant: Kitty Tor-Rattlebrook track repairs				(5,000)	(5,000)	C/Fwd from 17/18
Budget management Fund - Provisions (risk based)						
Employees	(52,000)				(52,000)	*Risk assessed balance*
Costs and Awards: Appeals/Public Enquiries/Litigation	(250,000)				(250,000)	*Risk assessed balance*
Loss of Income and Inflation	(34,500)				(34,500)	*Risk assessed balance*
Invest to Save and / or Generate Projects	(133,733)	50,000			(83,733)	
Annual Revenue Outturn	(5,822)	5,822		(78,605)	(78,605)	To be utilised / allocated in the new MTFP
Capital Expenditure Fund						
Vehicles: Sinking Fund - Replacement	(48,596)	(5,822)			(54,418)	Commitment due in 2018/19 of £25k
Property: Sinking Fund - Repairs & Maintenance	(150,000)	(50,000)			(200,000)	Commitment due in 2018/19 £30k
Known Commitments						
Chagford Cattle Grid	(3,000)	3,000	0		0	Paid 2017/18 and met from in-year surplus
Local Plan Review Budget	(122,500)		43,000		(79,500)	Built into the Medium Term Financial Plan
Local Plan Review contracts in progress	(31,319)		31,319	(33,360)	(33,360)	
All Moor Butterflies NPA/15/037	(17,500)		5,000		(12,500)	Partnership project
MIRES PR14	(10,000)				(10,000)	Partnership project, to be allocated when required
Project Fund allocations in 2016/17 against salaries	(132,262)		78,267		(53,995)	Built into Medium Term Financial Plan
Residents' Survey	(5,000)		5,000		0	Completed May 2017
Farming Year Films				(20,000)	(20,000)	C/Fwd from 17/18
National Park Management Plan review				(16,000)	(16,000)	C/Fwd from 17/18
Pay and Display Parking Machines				(15,745)	(15,745)	C/Fwd from 17/18
Interpretation Boards				(3,324)	(3,324)	C/Fwd from 17/18
South West Partnership for Environmental & Economic Prosperity				(10,000)	(10,000)	C/Fwd from 17/18
CAMS Web & Hosting				(3,558)	(3,558)	C/Fwd from 17/18
Historic Buildings: planning application support				(605)	(605)	C/Fwd from 17/18
Higher Uppacott - building repairs				(11,000)	(11,000)	C/Fwd from 17/18
Match Funding Reserve						
Postbridge Visitor Centre Interpretation	(148,305)	48,305			(100,000)	Match funding For Moor than Meets the Eye Landscape Partnership Scheme
Moor than Meets the Eye - Cash Flow	(300,000)				(300,000)	Based on project cash flow - retention and final claim in year 5
Superfast Broadband - Connecting Dartmoor & Exmoor	(65,000)				(65,000)	Approved in 2015/16, due to be paid in 2018/19
Greater Dartmoor LEAF 2015-2020	(13,800)	(13,800)	6,900		(20,700)	NPA/14/038 for 6 years 2015-2020
Naturally Healthy Dartmoor Project	(10,000)		10,000		0	NPA/14/031 for years 2015-2017 and now complete
Discovering Dartmoor's Wild Stories	(17,363)		0		(17,363)	Match against HLF Funding. Project ends 2019
National Parks Partnerships LLP	(10,000)		0		(10,000)	NPA18/011 To be paid to NPP LLP in 2018/19
Our Common Cause: Our Upland Commons	(8,000)	8,000			0	Included in 2018/19 Revenue Budget
Moor Otters Public Arts Project	(112,481)	112,481		(60,000)	(60,000)	NPA16/016 Project Surplus to be allocated to 3 projects over 2 years
Make Great Memories in England's National Parks		(16,400)			(16,400)	NPA/18/003 match funding
South West Peatland Partnership		(150,000)			(150,000)	NPA/17/041 match funding
Postbridge Visitor Centre - rebuild		(140,000)			(140,000)	NPA/18/018
Unallocated fund balance	(254,549)	148,414		(29,311)	(135,446)	
Total Earmarked Reserves	**(2,154,071)**	**0**	**321,443**	**(419,722)**	**(2,252,350)**	
General Reserve (unallocated emergency reserve)	**(450,000)**			**0**	**(450,000)**	
Total General Fund Balance	**(2,604,071)**	**0**	**321,443**	**(419,722)**	**(2,702,350)**	

2017/18 RESERVES: RISK BASED ANALYSIS	Risk Level	Rate	2017/18 Forecast Outturn £'000
Grants & Contributions with Restrictions carried forward:			
Grants & Contributions with Restrictions	N/A	Actual	(215)
Employees:			
Maternity / Paternity Cover / Pay Awards	Low	Est.	(52)
Costs & Awards:			
Appeals / Public Enquiries / Litigation	High	Est.	(250)
Loss of Income and / or Price Increases:			
Reduced Sales, Fees & Charges or Inflation cost	Medium	Est	(34)
Capital - Property:			
Repairs & maintenance (sinking fund)	Medium	Est.	(200)
Capital - Vehicles			
Provision for future replacement of vehicles (sinking fund)	N/A	Est.	(54)
Known Commitments/Contracts			
Local Plan Review	N/A	Est. & Actual	(113)
All Moor Butterflies	N/A	Actual	(12)
MIRES PR14	N/A	Actual	(10)
2016/17 Project Fund allocations	N/A	Actual	(54)
Farming Year Films	N/A	Actual	(20)
National Park Management Plan Review	N/A	Actual	(16)
Pay and Display Parking machines	N/A	Actual	(16)
Interpretation Boards	N/A	Actual	(3)
South West Environmental & Economic Prosperity	N/A	Actual	(10)
CAMS Web & Hosting	N/A	Actual	(4)
Historic Buildings planning support	N/A	Actual	(1)
Higher Uppacott: building repairs	N/A	Actual	(11)
Match Funding Reserve			
Postbridge Visitor Centre Interpretation	N/A	Actual	(100)
Moor than Meets the Eye - Cash Flow	N/A	Actual	(300)
Superfast Broadband - connecting Dartmoor & Exmoor	N/A	Actual	(65)
Greater Dartmoor LEAF 2015-2020	N/A	Actual	(21)
Discovering Dartmoor's Wild Stories	N/A	Actual	(17)
National Parks Partnerships LLP	N/A	Actual	(10)
Moor Otters Project Surplus	N/A	Actual	(60)
Make Great Memories in England's National Parks	N/A	Actual	(16)
South West Peatland Partnership	N/A	Actual	(150)
Postbridge Visitor Centre - rebuild	N/A	Actual	(140)
Unallocated fund balance	N/A	Actual	(135)
Revenue			
Invest to save and / or Generate Projects	N/A	Actual	(84)
2017/18 Revenue Outturn Surplus	N/A	Actual	(79)
General Reserve - Minimum amount to cover unanticipated costs / emergencies	N/A	Actual	(450)
Total Reserve Balance			**(2,702)**

DARTMOOR NATIONAL PARK AUTHORITY

25 May 2018

**THE LOCAL CODE OF CORPORATE GOVERNANCE
AND THE 2017/18 ANNUAL GOVERNANCE STATEMENT**

<u>Report of the Head of Business Support</u>

<u>Recommendations</u>: **That Members:**
(i)   Consider and approve the assessment of the Authority's governance arrangements as set out in the Local Code of Corporate Governance at Appendix 1; and
(ii)   Approve the 2017/18 Annual Governance Statement at Appendix 2

1   Background

1.1   "Governance" is about how public sector bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

1.2   The Authority has based its corporate governance arrangements on the Framework "Delivering Good Governance in Local Government" produced by CIPFA (The Chartered Institute of Public Finance and Accountancy) and SOLACE (the Society of Local Authority Chief Executives) in 2007, adopted by the Authority in 2008 and revised in 2012.

1.3   A fundamental review of the Framework was undertaken by CIPFA and SOLACE in April 2016 which changed the core principles and sub principles that underpin the Local Code of Governance. The Authority therefore undertook a thorough review of the Local Code of Governance and the 2016/17 Annual Governance Statement (AGS) in April 2017 to ensure that both met the revised requirements.

1.4   The aim of the 2016 CIPFA/SOLACE Framework is to ensure:

- *that resources are directed in accordance with agreed policy and according to priorities*
- *that there is sound and inclusive decision making, and*
- *that there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities*

2   Annual Review

2.1   The Local Code of Corporate Governance demonstrates how the Authority operates against the governance principles in the CIPFA framework. The AGS explains how the Authority has complied with the Local Code of Corporate Governance and also meets the requirements of regulation 4(2) of the Accounts and Audit (England) Regulations 2011 in relation to the publication of a statement on internal control.

2.2   The Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control; and is also required to report publicly, on an annual basis, its compliance with its Local Code, the effectiveness of its governance arrangements and any planned changes. The review of the effectiveness of the system is informed by the work of the Leadership Team and other Officers within the Authority who have responsibility for the development and maintenance of the governance environment.

2.3   The main framework (systems and processes) that make up the Authority's governance arrangements include:

- Standing Orders, Scheme of Delegation, Financial Regulations, Procurement Procedures, Anti-Fraud and Corruption Strategy, Confidential Reporting Policy (Whistleblowing) etc;
- the Business Planning process;
- production of the annual Budget and Medium Term Financial Plan to reflect the priorities and actions in the Business Plan;
- the regular monitoring and reporting in public of performance against objectives, targets, and performance indicators;
- the monitoring and reporting of progress in relation to the National Park Management Plan;
- performance appraisals of staff, including the setting of actions designed to deliver the objectives in the Business Plan;
- the maintenance and monitoring of the Strategic Risk Register ;
- the maintenance of the Local Code of Corporate Governance;
- the continual refreshment, through review, of the Authority's suite of policy and strategy documents;
- training delivered through the year to Members and to officers;
- External and Internal Audit.

2.4   The Authority's Local Code of Corporate Governance can be found at Appendix 1 which has been reviewed and updated to reflect the way the Authority operates. The draft Annual Governance Statement for 2017/18 can be found at Appendix 2. Members are invited to comment and / or propose amendments.

2.5   A summary of progress made against actions identified in the 2016/17 AGS are set out below:

Action	Progress
Develop a programme to enable a wider use of apprenticeships, internships and volunteers to support the Authority's work	Four apprentices currently employed and provision within the Medium Term Financial Plan to support a rolling programme of up-to three apprentices. Reviewed the way in which we support and use volunteers.
Continue the Local Plan Review preparation Programme	In progress and on track

Action	Progress
Continue to implement a proactive programme to develop new funding streams to support the work of the Authority at a local and national level	Delivered the Moor Otters public arts initiative raising £60k to deliver specific conservation and access projects. Secured external grant for a number of projects including: • Peatland Restoration – a three year programme with £1.3m capital investment from Defra and revenue funding from the Duchy of Cornwall and National Park Authority • Archaeological survey work • Countryside Stewardship facilitation – funding from the Rural Development Programme for England to engage with the farming community to deliver environmental outcomes at a landscape scale • Common Cause – a project funded by the Heritage Lottery Fund to develop collaborative visions for lot approach to the management of three commons and to promote greater understanding of the role of commons. • Adopt a Monument funding from Historic England to support training of volunteers who will undertake active management of monuments at risk. Agreed to implement car parking charges at three sites in 2018 Invested in staff capacity to seek income from donations, sponsorship etc Continued our support for National Parks Partnership – a limited liability partnership established by the 15 UK National Parks to secure income and in-kind contributions for commercial sponsorships.
Work with other authorities in the Heart of the South West to develop a productivity plan as part of wider work on devolution and ensure that the rural dimensions to this agenda are not forgotten	Collaborated with Exmoor National Park Authority to ensure that the production of a Strategy for the Heart of the South West included a strong rural dimension. Gave evidence to the Rural Productivity Commission established by the Heart of the South West and three other Local Enterprise Partnerships.

Action	Progress
Seek support and funding for a Rural Productivity network (in partnership with Exmoor National Park Authority)	Unsuccessful in our bid for funding to take forward the proposals in the Rural Productivity Network but used this document to feed into the Rural Productivity Commission (see above).
Launch the revised website as a two-way tool for communication, focused on user needs	Achieved
Review the complaints procedure	Carry forward to 2018/19
Review the Member Code of Conduct	Carry forward to 2018/19

2.6 Other significant improvements in relation to governance arrangements undertaken during 2017/18 are:

- Reviewed and revised the Local Code of Corporate Governance in accordance with the revised framework issued by CIPFA and SOLCE;
- Successfully completed and achieved the second dry run towards a quicker closedown; meeting the new 31 May deadline instead of 30 June;
- Reviewed the Confidential Reporting (Whistleblowing) and Anti-Fraud & Corruption policies;
- Progressed a programme of work to implement the new General Data Protection Regulations (GDPR) requirements which come into force on 25 May 2018; and made arrangements to ensure ongoing compliance with the new requirements and for Data Protection;
- Provided training for Members focusing on Finance, Governance, Risk Management and Audit;
- Reviewed Audit & Governance Committee's Terms of Reference and work programme;
- Legal support services - reviewed service provision, resulting in improved resilience;
- Reviewed and restructured the Planning Service;
- Reviewed and restructured the Ranger Service;
- Continued to implement the Public Rights of Way review action plan;
- Made significant progress implementing the Organisational Development Strategy action plan.

2.7 Whilst we continue to have strong Governance arrangements in place, to ensure continuous improvement, it is proposed that the following work is undertaken during 2018/19:

- Review the complaints procedure;
- Review the Member Code of Conduct;
- Review and update the Member induction training programme;

- Review and update the Data Protection Policy to bring it into line with GDPR and the Data Protection Act 2018;
- Input to the review of protected landscapes announced as part of the Government's 25 Year Plan for the Environment.

3   Sources of Assurance

3.1   Authority Members need to look for assurance that proper governance arrangements are in place, and this report is part of that process. The Local Code refers to the various sources of assurance which are made available on our Website and directly to Members via the intranet or committee reports.

3.2   Members may also wish to refer to the external auditor's audit findings report (as considered at the meeting of the Authority 28 July 2017) which led to an unqualified opinion on the truth and fairness of the Authority's financial statements and a positive audit opinion as a conclusion to their value-for-money review. The Value for money review is based on an assessment of whether the Authority has proper arrangements for securing financial resilience, and proper arrangements for challenging how economy, efficiency and effectiveness are secured. External audit will present their 2017/18 report to the Authority on 27 July after concluding the audit of the Statement of Accounts, the AGS (attached) etc

3.3   Members may also refer to reports presented to this committee by Internal Audit during the year. The Head of Internal Audit has concluded that the Authority operates to a High Standard - "*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….. there are no "significant weaknesses" arising from our work in 2017/18……...Overall, and based on work performed during 2017/18, Internal Audit is able to provide Full Assurance on the adequacy and effectiveness of the Authority's internal control environment.*"

3.4   The three statutory officers of the Authority (the Chief Executive, Chief Finance Officer and Monitoring Officer) have independent legal obligations which include reporting on any matters where the probity or legality of the Authority's actions or proposed actions is at stake. To date no such reports have been necessary.

4   Conclusion

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

- The system of internal control is sound;
- The Authority has put in place proper and sound arrangements to detect and deter fraud and corruption;

- That adequate and effective arrangements are in place to ensure the legality of business transactions; and
- That the Authority's Local Code of Corporate Governance and governance arrangements in place are compliant with the CIPFA framework "Delivering Good Governance in Local Government".

DONNA HEALY

Attachments: Appendix 1 - Local Code of Corporate Governance
**   Appendix 2 - 2017/18 Annual Governance Statement**

20180525 DH Local Code of Corporate Governance and AGS

DARTMOOR NATIONAL PARK AUTHORITY

LOCAL CODE OF CORPORATE GOVERNANCE

Adopted: December 2009
Reviewed: April 2014
Reviewed: March 2017
Reviewed: May 2018

Introduction

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

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

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

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

The Core Principles are:

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law;

Principle B: Ensuring openness and comprehensive stakeholder engagement;

Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits;

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes;

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it;

Principle F: Managing risks and performance through robust internal control and strong public financial management;

Principle G: Implementing good practice in transparency, reporting and audit to deliver effective accountability.

In addition to the ***overarching requirements for acting in the public interest*** in Core Principles A and B, achieving good governance also requires a commitment to Core Principles C to G. In order to translate these principles into practice, the Authority needs to operate through a clear Corporate Governance policy supported by a Local Code of Corporate Governance.

The Authority's Values

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

1   Strong and Fair Leadership

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

2   Integrity

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

3   Involvement

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

4   Accountability

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

5   Improvement

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

6   Valuing People

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

7   Action Focused

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

Responsibilities

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

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

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

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

LOCAL CODE OF CORPORATE GOVERNANCE

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law

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

Respecting the rule of law	
Ensuring Members and Officers demonstrate strong commitment to the rule of law	Standing Orders and Scheme of Delegation
	Role of three Statutory Officers
	Role of Monitoring Officer to report on illegality
Creating the conditions for the three Statutory Officers and Members to fulfil their regulatory responsibilities	Role of Chief Financial Officer to report on unlawful expenditure
	Appointment of Internal and External Auditors and reporting arrangements in place to Audit and Governance Committee
Striving to optimise the use of full powers available for the benefit of stakeholders	Annual Governance Review and Statement
	Registration of Related Party Transactions
Dealing effectively with breaches of legal or regulatory provisions	Declarations of lobbying and declarations of interests at committee meetings
	Transparency about business dealings between the Authority, Members and senior Staff
Ensuring corruption and misuse of powers are dealt with effectively	Record of decisions and legal advice given
	Anti-Fraud and Corruption Policy
	Confidential Reporting (Whistleblowing) procedures

Principle B: Ensuring openness and comprehensive stakeholder engagement

Supporting Principles:	Evidenced by:
Openness	
Ensuring an open culture through demonstrating, documenting and communicating our commitment to openness.	Compliance with the Freedom of Information Act Access to Information arrangements Agreed actions to comply with the Openness of Local Government Regulations 2014 Agreed actions to implement the requirements of the Data Transparency Code and arrangements for the information to be available on the website Adoption of the ICO's standard Publication Scheme
Making decisions that are open and transparent; presumption against confidentiality without justification	Publication of agendas, reports and minutes for the Authority and its Committees on the website Record of decisions made published on the website
Providing clear reasoning and evidence relating to actions and decisions, and ensuring the impact and consequences are clear	Published calendar of meetings and internal corporate calendar to ensure timetable met Reports include legal, financial, and human resources (HR) equality implications where necessary. Record of discussion and decisions recorded in minute and published on website
Using formal and informal consultation and engagement to determine the most appropriate courses of action	Residents (and other) Surveys Consultations undertaken on range of service delivery matters and strategic plans

	Formal and informal consultation National Park Management Plan steering group and Delivery Board Local plan consultations Stakeholder consultations Attendance by Officers and Members at Parish Council meetings National Park Forum Dartmoor Farmers Forum Parish Council workshops Local Access Forum
Engaging comprehensively with institutional stakeholders Ensuring that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably. Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively. Ensuring that partnerships are based on trust, a shared commitment to change, and a culture that promotes and accepts challenge among partners; the added value of partnership is explicit	 Communications Strategy Corporate Contacts database to enable engagement with stakeholders for correct purposes Partnership arrangements backed up with robust formal legal agreements, setting out roles, responsibilities and behaviours
Effective engagement with individual citizens and service users Establishing a clear policy on consultation with stakeholders to ensure service provision contributes to intended outcomes Ensuring communication methods are effective in relation to community engagement Encouraging, collecting and evaluating the views of stakeholders including reference to future needs Implementing effective feedback mechanisms and ensuring inclusivity of all feedback Balancing feedback from more active stakeholder groups with other groups to ensure inclusivity. Taking account of impact of decisions on future generations of taxpayers/service users	 Communications Strategy Statement of Community Involvement Public consultations undertaken as required, well publicised and results and feedback reported to the Authority Formal and informal consultation: National Park Management Park steering group Local plan consultations Stakeholder consultations Attendance by Officers and Members at Parish Council meetings National Park Forum Dartmoor Farmers Forum Parish Council workshops Local Access Forum

Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits

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

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes

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

Optimising achievement of intended outcomes	
Ensuring the budget process is all-inclusive of full cost of operations over medium and longer term	Annual budget and Medium Term Financial Plan process that is aligned with Business Plan, National Park Management Plan and Eight Point Plan
Ensuring medium term financial strategy is responsive to external circumstances to optimise resource usage/integrates and balances resource constraints	Regular budget monitoring reports to Leadership Team and Audit & Governance Committee allows realignment if required.

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it;

Supporting principles:	Evidenced by:
Developing capacity Reviewing operations and resources to ensure continued effectiveness Improving allocation of resources so that defined outcomes are achieved effectively and efficiently Recognising the benefits of partnership working where added value can be achieved Developing and maintaining an effective workforce plan to enhance allocation of resources	Workforce planning overseen and reviewed by Leadership Team ICT Strategy Internal and external audit of processes National Park Management Plan review cycle Business Plan review cycle Budgetary control reported to Leadership Team and Audit & Governance committee Continuous review of Partnerships and delivery of outcomes Performance Indicators and benchmarking undertaken with other National Parks
Developing capability of leadership Developing protocols to ensure that shared understanding of roles and responsibilities is maintained Ensuring Chairman and CEO have clearly defined roles Publishing a statement that specifies the types of decisions	Codes of conduct Officer Job descriptions, person specification and competency framework Organisational Development Strategy Role/Protocols of Statutory Officers Clear Members Roles and Responsibilities Member Champion role Scheme of Delegation, Standing Orders and Financial Regulations regularly reviewed Decisions published through Open Data requirements
Developing capabilities of Members and Senior Management by giving access to induction and ongoing training; Members	Member job descriptions Staff and Member induction programme Training and Development programmes for Members

and Officers have appropriate skills and support to fulfil roles and this is kept updated; development through shared learning and learning from identified weaknesses	and Officers Staff Development & Training Days Bi-annual All Staff Meetings
Ensure structures in place to encourage public participation in development	Focus groups Residents Survey Forums and groups as described previously
Taking steps to ensure leadership's effectiveness through peer reviews and appraisals Holding staff to account through performance reviews Ensuring arrangements in place to maintain physical and mental wellbeing of Officers	Member and Officer Appraisals; including CEO Role of Chairman Job Descriptions Member and Officer personal development plans and Officer competency framework HR Policies and procedures Access to Occupational Health scheme Employees Assistance Programme in place

Principle F: Managing risks and performance through robust internal control and strong public financial management

The local code requires us to:	Evidenced by:
Managing risk Ensuring risk management is an integral part of all decision making Implementing robust and integrated risk management Ensuring individual responsibilities for managing risk are clearly allocated	Risk Management Policy in place and Strategic Risk Register approved annually and reviewed by Leadership Team and Audit & Governance Committee on continual basis Operational risk is built into service plans and work programmes and monitored by Heads of Service Scheduled risk and review meetings with insurers Risk based approach to financial management and maintenance of Reserves and working balances Internal and External Audit report to Members on a risk based approach
Managing performance Monitoring service delivery effectively Making decisions based on clear and relevant objective analysis including risks Providing Members and LEADERSHIP TEAM with regular reports on service delivery Encouraging effective and constructive challenge and debate on policies and objectives Ensuring consistency between specification stages and post implementation reporting	Robust performance management framework in place: Business Plan monitoring, Performance Indicators, Service delivery Dashboards, Risk Register and Financial Management; reviewed by Leadership Team and Audit & Governance Committee on quarterly basis Working Panels review and debate new policies and projects in advance of formal approval being sought Performance Improvement reviews are carried out by small member/officer teams including Members via Audit & Governance Committee Terms of Reference for Audit & Governance Committee and appropriate training provided Financial Regulations and financial management

Robust internal control Aligning risk management strategy and policies Evaluation and monitoring risk management Ensuring counter-fraud and anti-corruption measures in place Ensuring additional assurance through effective internal audit Ensuring audit committee independent of the executive	Risk management policy and strategic risk register in place and reviewed and monitored on quarterly basis Anti- fraud and corruption policy in place a regularly reviewed Internal Audit provided by Devon Audit Partnership Audit & Governance Committee in place as previously described
Managing data Ensuring effective arrangements for safe collection and use of data including sharing of personal data Effective arrangements for sharing data with other bodies Regularly reviewing and auditing quality and accuracy of data used in decision making and performance monitoring	Data Protection Policy and Procedures Compliance with Data Protection Regulations (GDPR) Nominated Data Protection Officer Data Sharing arrangements made and signed off as required with third parties Access to information Policy includes storage and retention guidelines Compliance with Payment Card Industry Standard
Strong public financial management Well-developed financial management to support long term and short term financial and operational performance Ensuring financial management is integrated at all levels of planning and control	Robust financial planning processes and procedures: Annual budget and Medium Term Financial Plan linked to the Business Plan and National Park Management Plan Quarterly budget monitoring reports to Leadership Team, and Audit & Governance Committee. Risk based approach to maintenance of reserve balances Financial implications considered and reported in all committee reports and in project management framework

Principle G: Implementing good practice in transparency, reporting and audit to deliver effective accountability

The local code requires us to:	Evidenced by:
Good Practice in Transparency Writing and publishing reports in a balanced, understandable and easily accessed style Striking a balance with regard to the amount of information provided	Reports template used for all committees and reports reviewed and signed off by senior officers before publication All committee business published on website Freedom of Information/Environmental Information Regulations compliance Publication Scheme Open Government requirements (including delegations)

	Annual Review published on Website
Good Practice in Reporting Reporting at least annually on performance, value for money and stewardship of resources in a clear, timely way	Robust performance management framework in place: Business Plan monitoring, Performance Indicators, Service delivery Dashboards; reviewed by Leadership Team and Audit & Governance Committee on quarterly basis Annual Review External Audit reports to Authority annually on Value for Money and Use of Resources
Ensuring members and officers take "ownership" of the reported results	Scheme of Delegation, Standing Orders, Financial Regulations
Ensuring robust arrangements for assessing the principles in this framework are applied, including an action plan for improvement	Continual review of systems of internal control by officers and Internal / External audit. Formal review of governance arrangements in order to produce the Annual Governance Statement to accompany the Statement of Accounts
Ensure this framework is applied to joint working/shared services Ensuring that performance information accompanying the financial statements is prepared on a consistent and timely basis and allows for comparison with similar organisations	Annual Review report produced at year end that summarises the Authority's performance against Business Plan objectives and outcomes. National Park family performance indicators reported annually
Assurance and accountability Ensuring that recommendations for corrective action made by external audit are acted on	Internal and External audit plans and reports taken to Audit & Governance Committee and to the Authority at year end. All recommendations and actions reported publically
Ensuring an effective internal audit service is in place	Internal Audit provided by the Devon Audit Partnership who demonstrate compliance with Public Sector Internal Audit Standards
Welcoming peer challenge and regulatory inspections and acting on recommendations	Benchmarking and Officer working groups in place across National Parks family to challenge, learn and share best practice. Audit report recommendations are followed up and implemented
Gaining assurance on risks delivered through third parties and ensuring that this is evidenced in the annual governance statement	Formal partnership agreements are always put in place that set out roles, responsibilities, accountabilities and risk.
When working in partnership, ensuring arrangements for accountability are clear	Continual risk management undertaken and reported to Members during the year to provide assurance

ANNUAL GOVERNANCE STATEMENT
2017/18

SCOPE OF RESPONSIBILITY

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

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

The Authority has developed a Local Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government'. A copy of the code is available on our website. The Annual Governance Statement explains how the Authority has complied with the Local Code of Corporate Governance and also meets the requirements of regulation 4(2) of the Accounts and Audit (England) Regulations 2011 in relation to the publication of a statement on internal control.

THE PURPOSE OF THE GOVERNANCE FRAMEWORK

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

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

The governance framework has been in place for the year ended 31 March 2018 and up to the date of approval of the Business Plan and Statement of Accounts. The framework has been further supported by the Local Code of Corporate Governance.

THE GOVERNANCE FRAMEWORK & LOCAL CODE OF CORPORATE GOVERNANCE

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

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

- The vision, objectives and priorities for the local area (Dartmoor National Park) for the period 2014 -2019 as set out in "Your Dartmoor", the National Park Management Plan (NPMP). "Your Dartmoor" was developed via a process of extensive community involvement and the associated action plans are being revised annually in a process involving a wide range of partners/stakeholders.

- The Business Plan for the Authority is a strategic document which provides a link between the National Park Management Plan and work programmes (for teams and individuals). The Business Plan, including priorities and targets, is reviewed annually and a separate annual review is produced in June to report on performance and highlight key projects undertaken in-year.

- The Authority's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer (CFO) in Local Government (2010).

- The principles of decision making are set out in the Authority's Standing Orders, supported by:

    1. Financial Regulations, a Disposals Policy, a Sustainable Procurement Policy and Procurement Procedures;
    2. The Authority's adopted codes of practice in relation to Treasury Management for Investments and for Capital Finance and Accounting (the Prudential Code)
    3. Scheme of Delegation
    4. Code of Conduct for Members and Officers
    5. Job descriptions for Members and Officers
    6. Policies and Procedures

- Public involvement and transparency in decision making is facilitated through formal consultations, workshops, involvement in service reviews, consultative forums with members of the community representing access, land use, conservation, businesses and community interests and public participation at the Authority and its Committees.

- Ensuring that established policies, procedures, laws and regulations are complied with is the responsibility of nominated statutory Officers, the Monitoring Officer and the Chief Financial Officer, as laid down in the Authority's Standing Orders & Financial Regulations.

- A Risk Management Strategy that defines and identifies the process for ongoing risk management and the responsibilities of the various stakeholders in the risk management process.

- A Strategic Risk Register is reviewed and approved annually by the Authority and is actively monitored/reviewed on a regular basis within year by Leadership Team and the Audit and Governance Committee. Leadership Team monitors and manages operational risks via service plans, work programs and Service Dashboards. The Authority's internal project management guidance requires identification and management of risks.

- A programme of service reviews or value for money/business reviews that look closely at and challenge service provision and delivery and discharges the Government's Value for Money requirements for the Authority.

- Comprehensive budgeting systems set targets to measure financial performance which are reviewed by the Leadership Team and reported to the Audit and Governance Committee on a quarterly basis for detailed review and scrutiny.

- Performance management is applied consistently throughout the Authority against a Performance Management Framework. Reports of progress against performance targets are reported quarterly to the Leadership Team and the Audit & Governance Committee.

- The Standards sub-Committee monitors the ethical framework for the Authority and will alert the Authority to any potential issues arising from its decision making processes.

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

REVIEW OF EFFECTIVENESS

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

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

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

The Actions identified in the 2016/17 Annual Governance Statement to be addressed during the year were:

Action	Progress
Develop a programme to enable a wider use of apprenticeships, internships and volunteers to support the Authority's work.	Four apprentices currently employed and provision within the Medium Term Financial Plan to support a rolling programme of up-to three apprentices. Reviewed the way in which we support and use volunteers.
Continue the Local Plan Review preparation Programme.	In progress and on track.
Continue to implement a proactive programme to develop new funding streams to support the work of the Authority at a local and national level.	Delivered the Moor Otters public arts initiative raising £60k to deliver specific conservation and access projects. Secured external grant for a number of projects including: • Peatland Restoration – a three year programme with £1.3m capital investment from Defra and revenue funding from the Duchy of Cornwall and National Park Authority • Archaeological survey work • Countryside Stewardship facilitation – funding from the Rural Development Programme for England to engage with the farming community to deliver environmental outcomes at a landscape scale • Common Cause – a project funded by the Heritage Lottery Fund to develop collaborative visions for lot approach to the management of three commons and to promote greater understanding of the role of commons. • Adopt a Monument funding from Historic England to support training of volunteers who will undertake active management of monuments at risk. Agreed to implement car parking charges at three sites in 2018. Invested in staff capacity to seek income from donations, sponsorship etc Continued our support for National Parks Partnership – a limited liability partnership established by the 15 UK National Parks to secure income and in-kind contributions for commercial sponsorships.

Work with other authorities in the Heart of the South West to develop a productivity plan as part of wider work on devolution and ensure that the rural dimensions to this agenda are not forgotten	Collaborated with Exmoor National Park Authority to ensure that the production of a strategy for the Heart of the South West included a strong rural dimension. Gave evidence to the Rural Productivity Commission established by the Heart of the South West and three other Local Enterprise Partnerships.
Seek support and funding for a Rural Productivity network (in partnership with Exmoor National Park Authority)	Unsuccessful in our bid for funding to take forward the proposals in the Rural Productivity Network but used this document to feed into the Rural Productivity Commission (see above).
Launch the revised website as a two-way tool for communication, focused on user needs	Achieved
Review the complaints procedure	Carry forward to 2018/19
Review the Member Code of Conduct	Carry forward to 2018/19

Other significant improvements in relation to governance arrangements undertaken during 2017/18 as follows:

- Reviewed and revised the Local Code of Corporate Governance in accordance with the revised framework issued by CIPFA and SOLCE;
- Successfully completed and achieved the second dry run towards a quicker closedown; meeting the new 31 May deadline instead of 30 June;
- Reviewed the Confidential Reporting (Whistleblowing) and Anti-Fraud & Corruption policies;
- Progressed a programme of work to implement the new General Data Protection Regulations requirements which come into force on 25 May 2018; and made arrangements to ensure ongoing compliance with the new requirements and for Data Protection;
- Provided training for Members focusing on Finance, Governance, Risk Management and Audit;
- Reviewed Audit & Governance Committee's Terms of Reference and work programme;
- Legal support services - reviewed service provision, resulting in improved resilience;
- Reviewed and restructured the Planning Service;
- Reviewed and restructured the Ranger Service;
- Continued to implement the Public Rights of Way review action plan;
- Made significant progress implementing the Organisational Development Strategy action plan.

GOVERNANCE ISSUES

Although the Authority has been assessed as having strong Governance arrangements in place, to ensure continuous improvement, it is proposed that the following work is undertaken during 2018/19:

- Review the complaints procedure;
- Review the Member Code of Conduct;
- Review and update the Member induction training programme;
- Review and update the Data Protection Policy to bring it into line with GDPR and the Data Protection Act 2018;
- Input to the review of protected landscapes announced as part of the Government's 25 Year Plan for the Environment.

CERTIFICATION

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

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

Signed: …………………………………

Mr K Ball
Chair of Audit & Governance Committee

Date: …………………………………

Signed: …………………………………….

K D Bishop
Chief Executive (National Park Officer)

Date: …………………………………....

DARTMOOR NATIONAL PARK AUTHORITY

25 May 2018

BUSINESS PLAN MONITORING 2017/18

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 2017/18 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 2017/18.

1.2   The Authority uses a spreadsheet (traffic light system) to track progress which is reviewed by Leadership Team each quarter. A copy of the Business Plan monitoring spreadsheet for 2017/18 is attached at Appendix 1.

1.3   Members will be aware that whilst this report focuses on key actions the 2017/18 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 2017/18 identifies 43 key actions against the six agreed priorities for the Authority including ten projects relating to the *Moor than meets the eye* programme (key action 10).

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 43 key actions is summarised in the tables below:

Progress	No.	%
Completed	**10**	**23**
2017/18 actions delivered; ongoing project into 2018/19	**16**	**38**
2017/18 actions partially delivered; ongoing project into 2018/19	**13**	**30**
Not completed; deferred to 2018/19	**4**	**9**
Not completed; action cancelled	**0**	**0**

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

Action No.	Description	Progress
4	**Parish-based approach to biodiversity**	
6	**Historic Environment Record**	
10	**MTMTE – Natural Connections**	
10	**MTMTE – Conservation Apprentices**	
17	**Recruit Education Guides**	**COMPLETED**
21	**Public Arts Project – Moor Otters**	
25	**Haytor Hoppa**	
29	**Heart of the South West Productivity Plan**	
31	**Dartmoor Naturally Healthy Project**	
33	**Apprenticeships**	
1	Peatland Project	
2	Moorland Birds Initiative	
3	Common Cause	
5	Scope archaeology/cultural heritage project	
7	Higher Uppacott	
8	Review National Park Management Plan	
10	MTMTE – Moor Medieval	
10	MTMTE – Dartmoor Story	2017/18 actions delivered; ongoing project into 2018/19
11	Review MTMTE and future ambitions	
12	Develop post-Brexit model for environmental investment and farm development	
13	Hill Farm Project	
15	Flood management integrated project	
19	Discover England funding bid	
23	Visitor Management – key messages campaign	
26	Review and adopt Dartmoor Local Plan	
32	Links with universities	
9	Develop Natural Capital Account	
10	MTMTE – Haymeadows	
10	MTMTE – Ponies, Pounds & Driftways	
10	MTMTE – Bellever & Postbridge Trails	
10	MTMTE – Welcome to Widecombe	
10	MTMTE – Heritage Trails	2017/18 actions partially delivered; ongoing project into 2018/19
10	MTMTE – Postbridge Visitor Centre	
18	Visitor Centres – develop vision and business plan	
22	Public Rights of Way	
24	Car parks maintenance and charging	
27	Affordable Housing	
28	Support delivery of high speed broadband	
34	70th anniversary of National Parks event (2019)	
14	**Dartmoor Food Initiative**	
16	**Dartmoor Youth Rangers**	Not completed; deferred to 2018/19
20	**Scope Miles without Stiles project**	
30	**Rural Productivity Network**	

3   Equality and Sustainability Impact

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

4   Financial Implications

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

5   Conclusion

5.1   Members will note from this report that the Authority has made very good progress in delivering the Business Plan for 2017/18.

NEIL WHITE

Background Papers: NPA/17/007, 2017/18 Business Plan

Attachments: Appendix 1 – Business Plan Monitor 2017/18

20180525 NW Business Plan Monitoring 2017/18

SUSTAIN							

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
1	Peatland Project - following work to establish the extent and condition of Dartmoor's peatland, apply for funding to implement an agreed plan to conserve and enhance peatlands, ensuring multiple outcomes and (looking at opportunities for engagement of local contractors and payment for ecosystem services)	P1	AK	**Milestone:** Complete Logic Framework process to inform funding bid. Complete prioritised action plan. Consider appropriate funding options and decide whether to submit a bid. **Progress:** Logic Framework process completed with the peatland partnership through an external facilitator. Decision not to submit LIFE bid but still taking forward work to develop a prioritised action plan. **G**	**Milestone:** Complete prioritisation exercise. Consider application to Defra capital grant for peatland restoration if support from partnership, landowners and commoners. Continue to look for other funding **Progress:** Prioritisation exercise ongoing. Bid to Defra being considered and worked up. Support received from Peatland Partnership. **G**	**Milestone:** Closing date for applications to Defra grant 21 November **Progress:** Joint SW Uplands bid submitted to Defra. South West Water lead body for whole bid but DNPA will lead dartmoor delivery (through dartmoor Peatland partnership) if successful.Defra decision delayed until 19 January. **G**	**Milestone:** If bid is successful: Advertise and appoint Project Officer to help deliver Dartmoor elements of Defra bid (aim to have Project Officer in place for June). Further liaison wth local stakeholders to agree detailed restoration plans. Initial conversations with potential contractors. **Progress:** No formal confirmation from Defra but funding unofficially confirmed. PO post advertised twice, interviews in April. Prelimamary surveys and landowner liaison underway. **G**
2	Moorland Birds Initiative – work with RSPB, Duchy of Cornwall and other partners on an initiative to promote better management of moorland habitats for birds	P1	RK	**Milestone:** RSPB is lead. DNPA a funding partner. Appoint Moorland Birds Officer and May and agree work priorities. **Progress:** underway, on target. Project steering group met 10/3/17 (RK and CG present). Terms of reference for project agreed, PO work priorities discussed and recruitment approved for action by RSPB. Post advertised from early April. Interviews 12/5/17, with CG part of interview panel. **G**	**Milestone:** Delivery of advice across the MTMTE area **Progress:** PO recruited and in post. CG on steering group (met twice) and RK on advisory group (meet November). Promotional advisory materials agreed and initial objectives established. PO met with number of stakeholders **G**	**Milestone:** Delivery of advice across the MTMTE area **Progress:** Advisory group met in December. Some progress with provision of advice and habitat management on Duchy land. **A**	**Milestone:** Delivery of advice across the MTMTE area **Progress:** Work is progressing and is on target. Landowner advice has started. Interpretation board for Haytor is being drafted and training events being planned. **G**
3	Common Cause – project with Foundation for Common Land, Duchy, DaCC, RSPB, NE, NT, DWT to develop local visions for three pilot commons, trialling community engagement and new approaches to management	P1	AK	**Milestone:** awaiting decision on whether to re-submit and timings **Progress:** Project has been re-submitted for 3rd time **A**	**Milestone:** Decision on application due in August **Progress:** Application successful. Project Manager interviews in November. **G**	**Milestone:** Appoint Project Co-ordinator (national facilitator). First meeting of Project Board and Steering Group **Progress:** All completed on time **G**	**Milestone:** Appoint Local facilitators. First meeting of Local Area Group to determine local delivery plan **Progress:** Local Facilitator appointed. First meeting of local group taken place. **G**
4	Continue parish-based approach to biodiversity, building on the Housemartins and Cuckoo projects – focus on community engagement/citizen science	P1	RK	**Milestone:** Project planning House martin project 2017. Cuckoo project underway. **Progress:** underway, on target. Cuckoo project promoted via social media and active recording via DNP website and through visitor centres. House martin project work plan and budget agreed with partners. **G**	**Milestone:** Delivery of house martin project. Prepare short list of potential future parish-based projects in consultation with rangers and partners. **Progress:** Two walks delivered for parish communities with RK and John Walters to raise awareness and understanding for the house martin project. **G**	**Milestone:** Identify two new potential projects for delivery in 2018, with potential partners and funding. **Progress:** [1] Invasive species - parish based approach to be extended beyond MTMTE area using Moor Otters funding (possible match funding from Defra and SWW will be pursued next quarter). [2] Plan to expand house martin project scope to include swift and swallows. In partnership with Devon Birds. Other partners and funding still to be identified. **G**	**Milestone:** Review 2017 parish based approach delivery and plan 2018 projects **Progress:** Talks with SWW regarding invasives partnership and devlopment of project for 18/19. **G**
5	Scope potential for 'landmark' archaeology/cultural heritage project	P1	LB	**Milestone:** Consider initial ideas at LT meeting in May and agree next steps/resourcing. Consider and discuss with potential funding partners. **Progress:** Evolved a project concept in conjunction with LT revolving around the theme of medieval settlement on Dartmoor. Development of more solid project concept is next step **G**	**Milestone:** Production of better defined project design for the project by LB, Emma Stockley and David Stone. **Progress:** 2 ideas have developed: Dig Dartmoor community test pit project across all Dartmoor parishes (HLF) and Roborough Down project working with disadvantaged communities potentially through the MOD. **G**	**Milestone:** Project scoped and presented to LT as part of medium term financial plan. Discussion with potential partners **Progress:**Project scoped and provisionally costed for inclusion in MTFP. Positive initail discussion with Dartmoor Preservation Association and Dartmoor Trust. **G**	**Milestone:** No further work until summer 2018 **Progress:** No further work undertaken so far. **G**

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
6	Historic Environment Record and Local Heritage Assets – implement process for registering undesignated Heritage Assets	P1	NP	**Milestone:** Authority approval in April.		**Milestone:** Implementation phase		**Milestone:** Review process at end of Q3		**Milestone:** Complete review process and report to LT	
				Progress: Approved at Authority Meeting 07/04/2017.	G	**Progress:** Ongoing.	G	**Progress:** Under review.	A	**Progress:** Implemented.	G
7	Higher Uppacott – complete restoration and develop a 'business model' for future interpretation and management	P1	AW	**Milestone:** 12 Public Events Contract for internal works awarded Re-profile budget and priorities Business model discussed at LT and with PMWP in June		**Milestone:** Internal works commenced		**Milestone:** Internal works completed		**Milestone:** Develop volunteer group for garden	
				Progress: Budget re-profiled and prioritised based on tender returns. Evaluation of tenders completed. Future use of HU reported to LT for discussion. Programme of costed works to reduce radon levels identified.	G	**Progress:** Carrek Ltd appointed and are on site to undertake programme of repairs and conservation works to interior -Shippon wall, Hall, Inner room and first floor rooms. Due to be completed middle of October 2017. Radon contractor commissioned to install intervention measures.	G	**Progress:**interior works substantially completed October to Hall ,Inner Room and first floor rooms. Some additional works have been identified which will be completed next quarter. Commenced electrical re-wiring programme November. There is some minor carpentry works still to do by specialist. Works Team have commenced shippon works - including re-cobbling of cross passage during December.	G	**Progress:** Architects appraisal report commissioned regarding condition of cottage roof. Report due April. Final carpentry and electrical works agreed and specifications provided to contractors. Interpretation plan / strategy has been worked up. Radon monitoring due April which should inform future use options of cottage. Volunteer Group for garden being considered.	G
8	Review the National Park Management Plan (start in 2017/2018 adopt new plan in 2020)	P1	KB	**Milestone:** Not starting until Q3		**Milestone:** Not starting until Q3		**Milestone:** Capacity to project manage and undertake the review procured		**Milestone:** Review commenced	
				Progress: Not starting until Q3	G	**Progress:** Not starting until Q3	G	**Progress:** Employment contract offered, project plan being developed.	G	**Progress:** Series of Workshops developed to start the process of reviewing the vision. Report to Authority in May 2018 outlining process.	G
9	Develop Natural Capital Account and Natural Infrastructure Investment Plan (2017/18) (EF)	P1	KB	**Milestone:**		**Milestone:** Partnership with SWEEP commenced. Training workshop held. Project and Communications Plan produced identifying outputs and future milestones		**Milestone:** Steering Meeting to review progress December 2017		**Milestone:** Natural capital account completed in draft by end of April 2018	
				Progress: Conformation that resources secured. Training workshop held, Project plan to be drafted and agreed	G	Awaiting confirmation of work programme and milestones from SWEEP.	A	**Progress:** Steering meeting postponed by SWEEP due to staff sickness and project likely to be delayed.	A	**Progress:** Staff capacity within SWEEP means natural capital account is delayed, no timeline for completion.	R
10	Manage MTMTE Landscape Partnership and implement key actions which the Authority is leading on: *Natural Connections (CM)* *Haymeadows (CM)* *Ponies, Pounds and Driftways (RS)* *Bellever & Postbridge Trails (ID)* *Moor Medieval (NP)* *Welcome to Widecombe (AB)* *Dartmoor Story (AB)* *Heritage Trails (AC)* *Postbridge Visitor Centre (RD)* *Conservation Apprentices (JS)*	P1	CG	**Milestone:** **Natural Connections -** Draft Integrated Management Plan		**Milestone:** **Natural Connections -** Draft Integrated Management Plan		**Milestone:** **Natural Connections -** Integrated Management Plan completed. Small capital grants advertised/allocated.		**Milestone:** **Natural Connections -** Final Plan completed	
				Progress: Still drafting	A	**Progress:** Still drafting	A	**Progress:** Management Plan drafted - further work for consultation with stakeholders	A	**Progress:** Officer has completed contract and left DNPA. Management plan not completed. HLF happy that enough objectives have been completed so no requirement to deliver outstanding objectives.	G
10		P1	CG	**Milestone:** Haymeadows - Meadows Conference and Family Day - Organise final haymeadows walk event		**Milestone:**		**Milestone: Haymeadows** - seed harvesting group established with ToR - seed harvesting kit purchased		**Milestone:** Seed harvesting machine will be purchased	
				Progress: Delivered Meadows support, conference, family day. Final haymeadow walk organised and fully booked at Challacombe	G	**Progress:** Ongoing	G	**Progress:** Progress has been made but seed harvesting machine not purchased	A	**Progress:** Havester not purchased before PO contract finished. Money still available to buy. Review and progress in 18/19	A

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
10		P1	RS	**Milestone:** Ponies, Pounds and Driftways - - update delivery plan - organise East Shallowford works - liaise with new Blackmoor Slade owner at Venton site to confirm works scope - liaise with Postbridge stakeholders to confirm works scope **Progress:** schemes for Postbridge and East Shallowford agreed and contractors have provided quotes for the work. Venton is delayed.	**Milestone:** **Ponies, Pounds and Driftways** - Venton and Shallowford projects started **Progress:** Postbridge driftway started at end of September and will be completed on 6 October. Voluntary work by owner of East Shallowford pound has been completed. Initial days work with contractor is to be undertaken imminently and await fuller estimate for rest of works. Venton work agreed in principle with owner. Site visit to agree vegetation clearance to be organised with RK and then contracted out. **A**	**Milestone:** **Ponies, Pounds and Driftways** - Venton and Shallowford projects completed. Postbridge driftlands project started **Progress:** Postbridge driftway completed. Site visit with RK done and contractor pricing up gorse clearance on 9/12/17. East Shallowford priced up by one contractor and await another quote on 7/12/17. Work should start on both sites before Christmas and in to January 2018. Other sites being looked at to use up predicted underspend. **G**	**Milestone:** **Ponies, Pounds and Driftways** - Postbridge driftway project completed **Progress:** Preferred contractor pulled out of East Shallowford but another now appointed and work to be done in May. Gorse clearance at Venton done so now awaiting neighbouring landowner to undertake hedging/walling work before revisiting site. More work on Postbridge driftway being priced up. **A**
10		P1	ID	**Milestone:** **Bellever & Postbridge Trails** - - procure and deliver small-scale/quick-win works - confirm Forestry Commission works and timescale **Progress:** - small-scale works being delivered to agreed routes	**Milestone:** **Bellever & Postbridge Trails -** Implement village trail **Progress:** small scale works have continued Village trail groundworks completed, signage on order. Agreed programme with FC to remodel car park and interpretation plan to be drawn up October / November. **A**	**Milestone:** **Bellever & Postbridge Trails** - Implement Bellever cycle route **Progress:** Waymarker posts design work undertaken. Quote for fabrication and instillation obtained. Tramper access audit to be undertaken in Quarter 4 **G**	**Milestone:** **Bellever & Postbridge Trails -** Decision required on Whitehorse Hill Cairn **Progress:** Details of plan with Duchy of Cornwall and Historic England **A**
10		P1	NP	**Milestone:** Moor Medieval - - organise monthly Study Group meeting/event - progress work on 4 key research areas **Progress:** Field trips to Vinnimore and Dunnabridge and study group meeting.	**Milestone:** **Moor Medieval -** organise monthly Study Group meeting/event - progress work on 4 key research areas **Progress:** combined field trip study group meeting - July; group visit to Bradley Manor - September. **A**	**Milestone:** **Moor Medieval -** organise monthly Study Group meeting/event - progress work on 4 key research areas Develop Year 3 Report **Progress:** Study Group meetings took place at Parke on 28/10/17 and 14/12/17. Annual reports for Years 1-3 have been completed. **G**	**Milestone:** **Moor Medieval -** organise monthly Study Group meeting/event - progress work on 4 key research areas **Progress:** 3 study group meeings took place at Parke and site visit to Chagford. Consultants engaged to edit publication. Work progessing to schedule. **G**
10		P1	AB	**Milestone:** **Welcome to Widecombe -** - Complete interpretation panel design - Start village guide leaflet design - Meet Margaret Rogers (Ally K arranging) to confirm Glebe Farm works viability or discuss Plan B: North Hall Manor (final) community dig **Progress:** - Interpretation panels designed, approved and installed 2 July - Village guide leaflet drafted - Still awaiting meeting to confirm proposals for Glebe Farm and possible Plan B: North Hall Manor (final) community dig **A**	**Milestone:** **Welcome to Widecombe** - snag interpretation boards - install rubbing posts - agree proposals for Glebe Farm element of the project. **Progress:** - interpretation panel snagging and works complete - delays developing walks leaflet - rubbing trail not installed at same time due to final agreements over land approval. Parish Council has now approved the sites of the posts - Glebe Farm proposals aborted due to lack of landowner interest. Proposed rescoping to culminate in North Hall Manor celebration dig 2018 - proposal to LP Board due on 11 Oct **A**	**Milestone:** **Welcome to Widecombe** - complete walk booklet - complete rubbing posts - develop North Hall dig proposal **Progress:** - Walking book not finalised. Researched walking routes and working on text - rubbing posts installed - Glebe Farm proposals aborted due to lack of landowner interest. Held rescoping meetings re: North Hall Manor celebration dig 2018. Rescoped for formal LP Board and HLF approval in Jan 2018 **A**	**Milestone:** **Welcome to Widecombe** - complete walk booklet - North Hall dig proposal approved by Board/HLF in Jan 2018 - North Hall dig planning -Commission additional interpretive works as part of phase 2 of W2W **Progress:** Walk booklet not completed North Hall Manor project approved. Planning taking place. Phase 2 works commissioned **A**

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
10		P1	AB	**Milestone:** Dartmoor Story - - Website: confirm page content for DNPA website launch - Events: continue delivery - Haytor Hub interpretation board: draft copy for board and commission illustrations (Chrissy Mason leading) - HU & medieval farming: coordinate with Strategy Group - Wray Valley Trail interpretation: meet DCC reps and initiate contact with ItFotV researchers - Birch Tor panels: draft copy for board - Dart Valley boards: agree final design and mapping, manufacture and installation by school summer holidays - clarify WT output forecast overspend		**Milestone:** Dartmoor Story - Dart Valley boards erected on site		**Milestone:** Dartmoor Story - Heritage Events x4 -Interpretation panels x2		**Milestone:** Dartmoor Story - - Progress and reprofiling of DS project presented to LPB on 24/1/18 - DS website up and running - Interpretation panels x6 - Bovey valley leafletsx6 - Dibond welcome breadboards x30 for Bovey Valley - Produce plan of interpretive video content for website and commission - Deliver programme of engagement activities in conjunction with RAMM as part of Wildl and Wondrous region and In the Footsteps of the Victorians Project - Deliver exhibition at Princetown Visitor Centre about MTMTE and the Dartmoor Story	
				Progress: - Website: DNPA website content launched. - Events: forthcoming programme at: http://www.moorthanmeetstheeye.org/get-involved/upcoming-events - Haytor Hub interpretation board: copy drafted and illustrations complete (Chrissy Mason leading) - HU & medieval farming: fed into Strategy Group thoughts on interpretation. On-hold whilst works scope is clarified - Wray Valley Trail interpretation: met DCC reps and initiated contact with ItFotV researchers - Birch Tor panels: no progress with draft copy/board layout - Dart Valley boards: board complete, manufacture and installation due by 21 July	**A**	**Progress:** - Website: content drafted and awaiting 'Dartmoor Story' infrastructure on DNPA website - Events: 21 diverse events organised over last quarter - Haytor Hub interpretation board: proofs out for final comment - HU & medieval farming: fed into Strategy Group thoughts on interpretation. On-hold whilst works scope is clarified - Research content available through PB7 - In the footsteps of the Victorians project - Birch Tor panels: no progress with draft copy/board layout - Dart Valley boards: Newbridge installed and Dartmeet board awaiting delivery of new display case	**A**	**Progress:** -Delivered 2 of 4 events. 2 cancelled due to poor weather x 60 attendees -Dart Valley Interpretation panels- installed x 2 -Several meetings undertaken to progress DS website and prototype site in development -worked on preparing DS exhibition for Princetown VC -produced Communications strategy incorporating Dartmoor Story in response to monitoring and evaluation report	**G**	**Progress:** Dartmoor Story - - Progress and reprofiling of DS project presented to LPB on 24/1/18-**Approved** - DS website **up and running** - Interpretation panels x6-**not complete** - Bovey valley leafletsx6-**at printers** - Dibond welcome breadboards x30 for Bovey Valley- **at printers** - Produce plan of interpretive video content for website and commission-**workin progress** - Deliver programme of engagement activities in conjunction with RAMM as part of Wildl and Wondrous region and In the Footsteps of the Victorians Project-**Completed** - Deliver exhibition at Princetown Visitor Centre about MTMTE and the Dartmoor Story-**Completed**	**G**
10		P1	AK	**Milestone:** **Heritage Trails -** - Upload additional routes - Leaflet design		**Milestone:** **Heritage Trails** - full launch with DNPA website		**Milestone:** **Heritage Trails** - promotion at 10 Tors Leaders' meeting		**Milestone:** **Heritage Trails** - 6 new trails uploaded	
				Progress: - Routes: 6 added plus Otter trail; 15 trails now available - Leaflet: No progress	**A**	**Progress:** Further 1 route added. 576 pages views in first year. Plan for promotion agreed.	**A**	**Progress:** Heritage Trails and link to the website was promoted at the Ten Tors managers meeting in October. Article has been written for Enjoy Dartmoor that promotes the Heritage Trail map and the Magnificent Mires walks.	**G**	**Progress:**2 additional routes uploaded. 17 in total. Not promoted publicly yet. Public will upload routes.	**A**
10		P1	RD	**Milestone:** **Postbridge Visitor Centre** - submit EOI to EAFRD, finalise with Duchy support for a new Centre		**Milestone:** **Postbridge Visitor Centre** - subject to Q1 submit full application, draw up plans for new centre		**Milestone:** **Postbridge Visitor Centre** - Plan B presented to MTMTE board and HLF monitoring. Timelines and budgets developed.		**Milestone:** **Postbridge Visitor Centre** - start work on plan for interpretation and refit of centre	
				Progress: EOI written but awaiting sign off from Duchy-submission by mid-July	**G**	**Progress:** EOI successful but match funding requirements meant that we cannot proceed with plans to build a new Centre.	**A**	**Progress:** Met with HLF on site, broadly supporting plans. Plan B being developed but awaiting news re match funding from EAFRD	**A**	**Progress:** Discussion with MTMTE Board to update plan B. Consensus to proceed. Received positive news from EAFRD with regards match funding and working with partners to explore delivery of a new visitor centre. Initial converstions with potential project manager to lead on the project. Interpretation plan commissioned for Postbridge VC and Postbridge Trails, to be delivered in late April.	**A**

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
10		P1	JS	**Milestone:** **Conservation Apprentices** - Apprentice advertised and appointed		**Milestone:** **Conservation Apprentices** - Apprentice starts		**Milestone:** **Conservation Apprentices** - second HLF supported Apprentice advertised and appointed		**Milestone:** **Conservation Apprentices** - second HLF supported Apprentice in post	
				Progress: Advertising & selection for interview completed. Interviews booked for 4 May at Station Yard depot; 9 candidates to be interviewed. At the same time the CWS will interview a selection for DNPA funded apprentice.	G	**Progress:** - 2 new apprentices started 6 June and have had an extensive programme of training - third Apprentice (second HLF funded) phase post advertised	G	**Progress:** Conservation apprentice appointed, due to start January 2018	G	**Progress:** Completed	G
11	Review MTMTE and use the NPMP process to develop thinking on future ambitions for a new large scale multi objective scheme.	P2	MTMTE - MA	**Milestone:** - Interim Evaluation data gathering (June - Sept), draft report Sept, presentation to working party and Board Oct		**Milestone:** Work on MTMTE Mid Term Review starts		**Milestone:** Work on MTMTE Mid Term Review completed		**Milestone**: - Final report completed and presented to 24 Jan Landscape Partnership Board - draft timetable for Actions to implement Mid-Term Review final report Recommendations	
				Progress: - data gathering/collation underway, key stakeholders being contacted by Resources4Change in July/Aug/Sept	G	**Progress:** - data/evidence collection, interviews and analysis mainly complete - key findings workshop 11 Oct	G	**Progress:** - initial findings presented to Landscape Partnership Board 11 Oct - draft report circulated for comment 8 Dec (due by 22 Dec) - Scheme Manager compiling comments for final report update by R4C early Jan	G	**Progress:** - Final report completed and presented to 24 Jan Landscape Partnership Board - HLF accepted on 8 Feb - draft timetable for Actions to implement Mid-Term Review final report recommendations being presented to 25 April Board - Legacy Planning Workshop organised for 9 May - Comms Plan input collated from Project Leads' reporting on 7 March. MTMTE Scheme Manager suggesting comms opportunities for the significant number of projects with no comms planned	G
12	Work to develop a post Brexit model for environmental investment and farm development on Dartmoor.	P2	KB	**Milestone:** Working Group established to develop Dartmoor specific model building on work by NPE on Future of Farming		**Milestone:**		**Milestone:** Share initial ideas from Task and Finish Group at Dartmoor Farmers' Forum		**Milestone:** Principles for an environmental land management scheme submitted to Defra and meeting sought to discuss potential pilot on Dartmoor	
				Progress: Authority approved establishment of a Task and Finish Group and appointed Maurice Retallick to chair it. Invites sent out and date of first meeting set. Internal meeting held.	G	Two meetings of the Task and Finish Group held. NPE FARM proposals and Dartmoor Farming Futures experience shared with Secretary of State when he visited Dartmoor	G	**Progress:** Ideas shared at Farmer's Forum and work on principles for a new scheme completed for presentation to Authority in January 2018	G	**Progress:** Principles and proposal for Dartmoor pilot submitted to Defra. Attended workshop with Defra and other NP's.	G
13	Continue to support the Hill Farm Project as a delivery vehicle for farmer engagement and development of new projects to support farming on Dartmoor. Specific actions to include: supporting and promoting Moorskills apprenticeship; training and knowledge transfer; facilitate collaborative working between farming and tourism businesses.	P2	CG	**Milestone:** 3 training events delivered . Training co-ordinator post re-advertised. Calendar of events produced.		**Milestone:**3 training events delivered . Training Co-ordinator starts. I specialist advisor day on farm.		**Milestone:** 3 training events delivered . I specialist advisor day on farm		**Milestone:** 3 training events delivered . I specialist advisor day on farm.	
				Progress: Training events delivered. Failed to recruit training coordinator in March so readvertising for June/July start. Re-evaluation of Moorskills model - TBC. Training coordinator interviews held in late June and appointment made.	G	**Progress:** Training coordinator recruited and started August 20th. Promotional event held by SG chair. Around 20 training events delivered. £10K of additional funding secured to deliver the PCF Resilience Programme on Dartmoor. Moorskills will continue running from Sep with 2 continuing apprentices.	G	**Progress:** 9 training events delivered but no specialist event. 19 farmers (max 20 allowed) recruited for the PCF resiliance programme. 34 farmers have also signed up for the new Facilitation Fund application. Heritage skills programme developed.	G	**Progress:** Facilitation Fund application successful. Resilience programme delivered on time. Training target exceeded	G

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
14	Scope potential for a Dartmoor Food initiative (linking food, farming and tourism)	P2	CG	**Milestone:** Explore options and identify successful initiatives		**Milestone:** Form group and plan event		**Milestone:** Being formulated		**DEFERRED TO 2018/19**	
				Progress: Still scoping	A	**Progress:** Decision made to hold meeting with key stakeholders rather than wider farmer workshop. Spoken to farmers and need to follow up to establish attendance and agenda	A	**Progress:** Agreed with AK to suspend this work until next year/further notice due to workload and complexity of task.	R	**DEFERRED TO 2018/19**	R
15	Work with EA, FC and NE to develop an integrated approach to farm based advice with potential for capital grants to address flood management issues	P2	CG	**Milestone:** Contribute to development of priorities and detailed business case.		**Milestone:** Business case submitted to Defra by EA		**Milestone:** Subject to EA funding		**Milestone:** Subject to EA funding	
				Progress: EA mapping completed and priority areas are being identified. Groundtruthing mapping during summer period	G	**Progress:** 4 priority catchments have been identified for project. Potential funding available to fund a DNPA PO post in 2018 in partnership with EA. Post to be worked up in November. Business case submission due at the end of the Autumn. Need to agree coms strategy with EA before roll out. CG speaking to farmers regarding approach.	G	**Progress:** C&LM team spent productive day with EA on site to discuss project. Draft JD presented to EA who agreed direction and DNPA lead on post. Funding of post still not secured and business plan not complete for submission (EA lead). Need to resolve and advertise for April start. Coms strategy to be developed in new year for early engagement with farming community.	A	**Progress:** Business case submitted and confirmation from EA that they wil underwrite the cost of a project officer post to be jointly hosted. JD submitted, awaiting sign off from EA. June start date likely although project will launch before this.	G

E N J O Y

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
16	Seek funding for and deliver a new 'Dartmoor Youth Rangers' project to address the gap in informal learning opportunities for teenagers.	P3	OR	**Milestone:**		**Milestone:** Decision on Kick the Dust bid expected August		**Milestone:** Input to development of second round bid if successful. Consider alternative funding mechanisms if not successful		**Milestone:**	
				Progress: Bid complete - submitted by SWLT - awaiting decision	G	**Progress:** Kick the dust bid - unsuccessful. Further work required to consider whether an Our Heritage bid would succeed.	R	**Progress:** Bid on hold - pending other opportunities internally being pursued to ensure longer term viability. Once internal structures in place may be in a position to reconsider a bid to support a progression model *Youth Rangers* to provide link between Junior Ranger programme and apprenticeships. Moor Otters funding will be used to progress this work.	G	**Progress:** Ranger restructure has identified opportunity, using 'Moor Otters' funding to resource staff time from within the Ranger team to act as a 'Continuity Lead Ranger' for the Junior Ranger programme leading to the development of a pilot Youth Rangers programme in 2019 (link to 25 year Environment Plan - engaging young people and year of action).	G
17	'Recruit' Education Guides to ensure we can sustain our formal education offer	P3	OR	**Milestone:** Ongoing advertising and recruitment		**Milestone:** Focussed recruitment at shows and outreach events		**Milestone:** Volunteer guides training day to promote ambassadorial role for recruiting peers		**Milestone:** Review and reflect on progress	
				Progress: 2 new Volunteer Education Guides have been recruited and are undergoing induction training and shadowing; a further 2 new Volunteer Education Guides have applied, been interviewed, have either completed or have in place necessary mandatory training and will start induction process in quarter 2.	G	**Progress:** A further 2 potential Education Volunteers (6 in total) have expressed interest and been interviewed - they are starting their training and development journey. The first 'new pair' have completed induction and are now leading events for us.	G	**Progress:** One of the previous six has now completed South West Mountain and Moorland Leadership Training Scheme (SWMMLTS) and Outdoor First Aid and has been active in 'work-shadowing' expereinced Guides. A further 'one of the six' has completed SWMMLTS training but has yet to take assessment. Final two yet to complete.	G	**Progress:** Review conducted - the success of offering 'up front' training for potentialVolunteer Education Guides was recognised with the number of people who have not only expressed an interest but have successfully completed an induction programme to start leading Education Walks for DNPA. budget bid for future year to contnue this direction of travel.	G
18	Develop and implement three year vision and 'business plan' for the National Park Visitor Centres	P3	RD	**Milestone:** Review initial work and draw up programme of work for the summer, ensuring that all related projects are mindful of the paper.		**Milestone:** Deliver and review retail policy over the key summer months. Deliver the visitor survey. Draw up Postbridge plans		**Milestone:** Write and review retail strategy 2018-2020. Write visitor survey report		**Milestone:** Complete reports on visitor survey and retail strategy. Ensure plans for 2018-19 are in place and follow Visitor Centre vision.	
				Progress: Work programme for summer drawn up concentrating on key events and supporting Moor Otters.	A	**Progress:** Number of events delivered in line with retail policy, Dartmoor Ambassadors engaged to support visitor centres, Visitor Survey collected more than 1000 face to face surveys and Postbridge plans halted due to match-funding requirements.	G	**Progress:** Retail strategy awaiting review in Q4. Visitor survey key figures produced with a full report in Q4.	G	**Progress:** Plans in place for 2018/19 at all three centres. Drafts created for visitor survey but work on retail strategy delayed until June 2018.	G

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)	Quarter 2 (July, August, September)	Quarter 3 (October, November, December)	Quarter 4 (January, February, March)
19	Discover England funding bid (joint with all English NPAs)	P3	RD	**Milestone:** On-going work with project group to prepare for successful outcome of DEF bid **Progress:** DEF queries answered and delivery group initiated recruitment process — **G**	**Milestone:** Subject to successful outcome, start scoping Ranger brand work and also delivery of marketing elements for the SW National Parks. **Progress:** Work undertaken to get agreement on budget, work streams and promotion before the grant offer letter was signed (late September 2017). Interim project manager appointed and work groups allocated. — **G**	**Milestone:** First meetings for Ranger brand, staff in place to deliver the DEF **Progress:** Meetings taken place around the Ranger Brand and the invitation to tender complete for fulfilment of this work. Staff recruited and full team in place on 02 January 2018. — **G**	**Milestone:** Report given to Authority. Joint ranger brand scoping work complete and shared by DNPA, ENPA, PDNPA and LDNPA. **Progress:** Authority report presented in January, full project team in place and contract awarded for local delivery of business support. Workshops on delivering expereinces and also the Ranger Expereince. Ranger Experience programme developed and DNPA Rangers engaged. — **G**
20	Scope 'Miles Without Stiles' project to improve access for all visitors to the National Park with NPA partners and seek funding through Sport England's Active Recreation Fund	P3	AW	**Milestone:** Joint NPA's outline expression of interest submitted (implementation will be dependent on success of bid) **Progress:** Bid for all 10 English parks submitted in May — **G**	**Milestone:** Joint funding bid submitted (Implementation timescale not yet known) **Progress:** No further progress or update — **R**	**Milestone:** Meeting with Sport England to discuss the bid **Progress:** No further progress - Sport England have indicated will not support a joint NPAs bid — **R**	**Milestone:** **Progress:NO FURTHER ACTION - PROJECT ON HOLD** — **R**
21	Public Arts Project – Moor Otters (2017/18)	P3	SH	**Milestone:** Moor otters trail launched, online auction site live, otters in place, trail leaflets produced and distributed, schools project underway **Progress:** on track as per milestone, trail a huge success may need to reprint trail guides. Two otters already sold! — **G**	**Milestone:** Trail live, online auction underway, auction book produced, schools project finished and in visitor centre, live auction for golden otters **Progress:** Trail was a huge success with public, lots of positive feedback. All other milestones complete. Live auction and online auctions completed — **G**	**Milestone:** All monies collected from online and live auction, otters distributed to their new homes, artists commission and expenses paid, authority report presented. Project completed **Progress:** project complete. Raised £162,500 gross £60,000 net. Evaluation complete and report to Authority presented in Dec — **G**	**COMPLETED** **ACTION COMPLETED** — **G**
22	Work with local communities, stakeholders and land managers to maintain PROW to a high standard. Develop a three year rolling programme to guide investment in access infrastructure Review progress in January 2019.	P3	AW/ Rangers	**Milestone:** Student ranger continued for 1 year to allow concerted effort on PROW. PROW Review reported to A & G in May. Purchase CAMSweb **Progress;** Initial work to move cams over to new system has started. Student ranger in post. PROW review not reported to A and G, report progress to next meeting? — **A**	**Milestone:** Asset management approach to PROW developed with three year forward plan identifying resources required to maintain network. Implement CAMSweb - rollout with ranger service and volunteers **Progress:** PROW review implementation update reported to Authority in September. First phase of CAMS work to externally host completed. CAMSweb work due to commence October due to external hosting work taking longer than anticipated. — **G**	**Milestone:** Rangers ,Volunteers using CAMSweb. Scope out CAMSmobile for 2018/19 **Progress:** CAMSweb inmplenatation has started but is behind schedule. Should be completed by end of Q4 with training for administrators. — **A**	**Milestone:** Outstanding PROW issues reduced by 25% by June 2018. Rollout CAMSweb. **Progress:** CAMSweb work is well underway but is taking longer than anticipated due to some issues with the shared server at DCC which have been resolved. Starting end to end testing late April and anticipate live system available end of May. — **A**
23	Visitor management – implement an agreed programme of communication to influence visitor behaviours more effectively; including consideration of interpretation and signing across the National Park Develop key messages and new materials for all partners and stakeholders		SH/AW	**Milestone:** draft new messages and creative style developed and tested with stakeholders **Progress:** new messages developed in draft, creative style and outline comms plan underway. Meeting booked in July to consult — **G**	**Milestone:** draft messages and creative presented to LT with campaign plan to be developed by new promotions officer [if in post by then] **Progress:** draft messages presented to stakeholder groups including HFP steering group, farmers and rangers. Campaign plan not yet developed as post not filled — **G**	**Milestone:** campaign materials developed and marketing plan implemented by promotions officer, working with assistant access and recreation officer to engage key stakeholders **Progress:** All main stakeholder groups engaged with and preliminary campaign outlined. Awaiting new Marketing officer to start to develop full plan in January. — **G**	**Milestone:** launch and ongoing development and management of campaign to meet seasonal pressures **Progress:** campaign plan, timeline and materials produced and soft launched — **G**

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
24	Implement three year car park maintenance programme and roll out formal charges	P3	JS/AW	**Milestone:** Haytor Lower car park surfaced (depends on what trenching required for pay and display) By May12th contact contractors and get quotes for works to be undertaken early June		**Milestone:** Consultation on car park charges complete		**Milestone:** Surfacing completed at Haytor Dunnabridge, Hexworthy & Saddle Bridge. Implementation programme determined for car park meters.		**Milestone:** Infrastructure (car parking meters etc.) installed	
				Progress: Quotes for all car park works now obtained. All works to be completed - September /October	A	**Progress:** Resurfacing works on Haytor Lower, Dunnabridge, Hexworthy Bridge and Saddle Bridge completed in September ahead of deadline. Works on minor car parks now progressing. Parking charges consultation completed and reported to authority October.	G	**Progress:** Milestone met in Q2. Members approved implementation of car park charging.	G	**Progress:** Formal charges due to commence. Infrastructure purchased ready to install; awaiting boards.	A
25	Haytor Hoppa	P3	RD	**Milestone:** Prepare marketing material, sign contract for service starting on May 27th. Link to the Moor Otters campaign		**Milestone:** Ensure successful summer operation through to 16th September		**Milestone:** Review year figures and passenger survey forms. Report to LT and partners and decide on support for 2018		**Milestone:** Subject to previous quarter make decision as to whether service will run in 2018	
				Progress: Services started, Moor Otters promoted and leaflets distributed.	G	**Progress:** Haytor Hoppa had successful summer season with good passenger figures and positive anecdotal feedback.	G	**Progress:** Visitor figures increased on 2016 and anecdotal feedback is of a successful year for the ONLY visitor service operating on or to Dartmoor.	G	**Progress:** Agreed to deliver Haytor Hoppa on same basis as 2017 with operator, Country Bus, and DCC.	G

PROSPER

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
26	Review and adopt a revised Dartmoor Local Plan	P4	DJ	**Milestone:** Local Character Assessment (LCA) and LSA complete. Appoint contract for SA/SEA/HRA. Hold Member Steering Group. Parish Council Workshop. Launch Parish Council Consultation.		**Milestone:** Hold Member Steering Group. Report on Parish Council consultation. Historic Environment Topic Paper. Appoint Housing Paper support. DtC Scoping agreed. Local Development Scheme (LDS) Revised. Land Availability Assessment (LAA) Report complete.		**Milestone:** Final draft Infrastructure Delivery Plan (IDP). Final draft Open Space, Sport and Recreation Study (OSSR). Site options review. Settlement Strategy report complete. Sustainability Appraisal options and alternatives. Hold Member Steering Group.		**Milestone:** Hold Member Steering Group. Direction of Travel Paper to Authority. SA/SEA in progress for Reg 18. SFRA complete. ELR Complete.	
				Progress: Local Character Assessment (LCA) and Landscape Sensitivity Assessment (LSA) completed. Contractor for Sustainability Appraisal (SA)/Strategic Eviironment Assessment (SEA)/Habitat Regulation Assessment (HRA) appointed and work commenced. Steering groups held, workshop held and consultation launched.	G	**Progress:** Steering Group held (and additional programmed). Parish Council consultation completed. Contractor for housing support appointed. Contractor for Employment Land Review (ELR) appointed. Land Availability Assessment (LAA) completed. Local Development Scheme (LDS) revised. Annual Management Review (AMR) complete.	G	**Progress:** Final draft IDP complete. Final draft OSSR complete. Housing policy workshop held. ELR Draft received. Strategic Flood Risk Assessment (SFRA) Draft completed and consulted with Environment Agency and Devon County Council. SA and Habitat Regulation Assessment (HRA) Baseline reports complete. SA site assessments draft. Member Steering Group meetings held. Sites consultations completed in Local Centres. Direction of Travel paper published for Authority.	G	**Progress:** Steering Group meetings held and programme expanded (+ wider Member invites). Direction of Travel Paper to Members agreed. SFRA complete. ELR complete. SA/SEA on track. Consultants appointed to support Economy Topic Paper, and Site Allocations given vacant AFP post. NPPF consultation and reduced resource has driven a small timetable review.	G
27	Affordable Housing – seek funding for the provision of affordable housing on Dartmoor and develop a viable delivery model. Implement Revolving Land Bank proposals if funded. Agree new Supplementary Planning Guidance	P4	DJ	**Milestone:** Complete draft SPD		**Milestone:** Draft SPD published for public consultation		**Milestone:** SPD Adopted. Consider (jointly) position on Land Bank bid following outcome of General Election and any ministerial change		**Milestone:** Land Bank bid progression if deemed possible.	
				Progress: Draft SPD received. Concerns regarding additional work still needed.	A	**Progress:** Revised draft considered. Concerns regarding timescales for publication (policy clash) and assessing scope to adopt immediately as interim informal guidance to bridge gap.	A	**Progress:** Members agreed in principle to progress SPD work as interim informal guidance to be progressed in Q4.	A	**Progress:** Meeting to explore Land Bank bid, and further scheduled in Q1 of 18/19. Informal guidance work not progressed due to capacity. Joint LGA research with TDC completed with potential joint Viability SPD to pursue in 18/19. Planning Enabler post agreed. Recruit in Q1 18/19.	A
28	Support delivery of high speed broadband on Dartmoor and work in partnership to encourage use of this network by local businesses and communities	P5	JR	**Milestone:** Confirm final coverage and rollout plan		**Milestone:** All planning applications determined		**Milestone:** All network infrastructure installed		**Milestone:** Programme of Demand stimulation and awareness underway	
				Progress: Final Coverage & rollout expected to be confirmed in July. Continue to offer pre-app advice for additional infrastructure, still awaiting confirmation on implications of code powers being secured by Airband.	A	**Progress:** Final coverage and rollout still to be confirmed via contract change request. We continue to offer pre-app advice. Airband now benefit from Code Powers and currently in discussion regarding need for Prior Approval for new masts.	A	**Progress:** Delayed. Members approved 3 applications at Jan 2018 meeting leaving last few remaining elements of network to be completed. Revised network completion end of March 2018.	A	**Progress:** Final rollout to be considered at CDE Board meeting 17 May 2018. Take up remains low at around 7%, CDS Demand Stimultion programme now focussed on remaining phase 2 areas leaving gap in prgramme on Dartmoor/Exmoor. Further work required to assess future role for DNPA re: demand stimulation.	A

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
29	Contribute to the Heart of the South West Productivity Plan (in partnership with Exmoor National Park)	P5	KB	**Milestone:** Submit evidence (joint with Exmoor NPA) to LEP Rural Productivity Commission		**Milestone:** Comment on HofSW Productivity Plan and consider business case for DNPA to be a formal member of the Joint Committee to oversee the Productivity Plan. Productivity Plan due to be approved by end of September 2017		**Milestone:** Dependent on progress in Qs 1 and 2		**Milestone:** Heart of the South West Joint Committee due to adopt Productivity Plan in March 2018	
				Progress: Written evidence submitted and attended a hearing to present our evidence and answer questions	G	**Progress:** Joint Committee proposals published and include NPAs as voting Members. Need Authority approval for the proposals. Productivity Plan due to be published for consultation: retains a focus on Natural Capital.	G	**Progress:** Comments approved by Authority and submitted. Authority approved establishment of Heart of the South West Joint Committee to oversee adoption and implementation of the Productivity Plan. Final version of the Productivity Plan delayed until March 2018.	G	**Progress:** Productivity Plan adopted by Heart of the South West Joint Committee. Discussing potential for a rural bid to Defra through the Brexit Resilience and Opportunities Group which reports to the Joint Committee.	G
30	Rural Productivity Network – secure staff capacity to deliver this initiative	P5	KB	**Milestone:** Clarify funding situation with GD Leaf. Consider scope to develop a bid for facilitation capacity linked to wider objectives eg take-up of superfast broadband		**Milestone:** Depends on funding advice from GD Leaf		**Milestone:** Secure external funding		**Milestone:**	
				Progress: Advised that the RPN concept is not eligible for funding via GD Leaf	R	**Progress:** No progress in terms of securing external funding for a facilitation post to develop the proposals. Briefed Mel Stride MP who promised to discuss the concept with Treasury and Defra officials	R	**Progress:** Awaiting feedback from Mel Stride MP regarding funding opportunities	R	**Progress:** No progress in securing funding for a project officer to take te RPN proposals forward. Ideas and proposals fed into Rural Productivity Commission and the Authority will be developing a Territic Towns, Vital Villages project with local businesses in two or three case study settlements but have no resource to implement the wider proposals.	R
31	Complete and review Dartmoor Naturally Healthy project, work with other NPAs on a funding application to the BIG Lottery Fund	P5	OR	**Milestone:** Ongoing interventions		**Milestone:** 6 monthly report to the Devon Public Health		**Milestone:** Completion of external evaluation. Project ends. Project Officer post ends 31/12/2017.		**Milestone:** Launch of the project evaluation planned (Feb 2018)	
				Progress: 12 events run throughout this quarter - providing continuity of engagement together with capacity building within the community to run their own events by project end. The model of a two week cycle alternating Walking for Health with structured activity is well received.	G	**Progress:** a further 12 events run on the 'two-weekly cycle'. Meetings with Plymouth University to agree outcomes: a practioner's 'tool-kit', a policy report to influence 'upwards' agreed; plus revision to an undergraduate teaching syllabus to include 'naturally healthy' options discussed. No progress on NPE led bid to Big Lottery Fund.	G	**Progress:** 12 more events run on the 'two-weekly cycle'. Meetings with Plymouth University to review first draft of evaluation; second meeting to finalise. Launch date anticipated February 2018 with potential for Steve Brine MP to attend.	G	**Progress:** Evaluation report from Plymouth University (of Naturally Healthy and the sister project on Exmoor: Moor to enjoy) launched and disseminated 16 FEB 2018; further dissemination at Devon Local Nature Partnership conference on 16 MAR 2018.	G
32	Proactive links to local universities – dissemination of research, tap into potential student volunteers and to promote the National Park for tourism (eg focused initiative around graduation and freshers' week)	P5	AK	**Milestone:**		**Milestone:** Partnership with SWEEP commenced (see action 9)		**Milestone:** Consider options for further research links		**Milestone:** Finalise details for Dartmoor research day for delivery in Summer 2018	
				Progress:		**Progress:** SWEEP partnership established (see action 9).	R	**Progress:** Desk based study completed to identify existing and potential research links with higher education institutes. Work has started on developing a Dartmoor research day - to highlight current work and highlight gaps/opportunities for further research. Poster presentation for graduates included in current plans	G	**Progress:** Proposal for research day progressing - date agreed and key speakers confirmed	G
33	Rolling programme of apprenticeships across the Authority to meet our business needs and the Government's target	P5	NW	**Milestone:** Successful appointment of two apprentices to CWT; maintain three apprenticeships across Authority in line with MTFP.		**Milestone:** Ongoing support of current apprentices and liaison with training provider(s)		**Milestone:** Ongoing support of current apprentices and liaison with training provider(s). Recruitment of CWT Apprentice (HLF)		**Milestone:** Seek interest from managers to take on apprentice(s) during 2018/19 (Digital Comms apprenticeship ends 30/09/2018.	
				Progress: Two Conservation apprentices appointed. NW maintaining input to development of new Conservation Worker Apprenticeship Standard.	G	**Progress:** Conservation apprentices in post and undertaking training programme/courses. Further input to Conservation Worker Standard.	G	**Progress:** Third CWT Apprentice appointed in December 2017 (start early 2018). Three other apprentices (2 x CWT and 1 x Digital Comms) contiuning with training programmes and on the job development.	G	**Progress:** LT agreed to identify opportunities for further apprentice(s) in 2018/19 (to be completed). Note: HR Officer providing regular mentoring of current apprentices - new initiative that has been well received by apprentices and managers	G

Action No.	Key Action	Link to Priorities	Lead Officer	Quarter 1 (April, May, June)		Quarter 2 (July, August, September)		Quarter 3 (October, November, December)		Quarter 4 (January, February, March)	
34	Contribute to national celebration of 70th anniversary of National Parks and Access to the Countryside Act 1949 and develop a specific programme/event for Dartmoor (2019)	P5	SH	**Milestone:** Not starting until Q3		**Milestone:** Not starting until Q3		**Milestone:** Meet with BBC to discuss proposal for a series of programmes to celebrate history of UK National Parks. (proposal submitted January 2017). Future milestones dependent on whether BBC decides to commission such a series.		**Milestone:** Scope Dartmoor event to celebrate 70th anniversary of 1949 Act	
				Progress: Not starting until Q3	G	**Progress:** Not starting until Q3	G	**Progress:** Decision due Feb 2018 re-BBC commissioned programme.	G	**Progress:** BBC indicated that unlikely to commission a specific TV programme but looking at Radio programme and a theme for Countryfile in 2019. Dartmoor event is part of 2018/19 business plan linked to year of environment.	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

25 May 2018

PERFORMANCE INDICATORS 2017/18

Report of the Head of Organisational Development

Recommendations : **That Members:**
  (i)   analyse performance for 2017/18 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 2018/19

1   Purpose of the Report

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

1.2   Our performance in 2017/18 and the proposed targets for 2018/19 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 2017/18

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 2017/18. The outturn for the previous years (2015/16 & 2016/17) is also provided for comparison purposes.

3.2 For 2017/18 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 2018/19 are also included in the final column.

4 Targets not met 2017/18

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	72%	**70%**
S11	% change in CO_2 from DNPA operations	0%	**7.2%**
S12 a)	No. of working days lost to sickness absence - all	7	**7.82**
S12 b)	No. of working days lost to sickness absence – excluding long-term (> 4 weeks)	4	**4.40**
S14	% of Membership attending Authority meetings	85%	**82%**
E1 b)	Number of visitors to Postbridge Visitor Centre	58,000	**56,373**
E1 c)	Number of visitors to Princetown Visitor Centre	80,000	**79,291**
E9	Number of volunteer days attended by under-represented groups	500	**378**
P1 a)	Major applications determined within 13 weeks	50%	**0%**
P2 b)	Pre-applications for minor and householder applications dealt with within 28 days	90%	**88.95%**
P2 c)	Pre-applications for major applications dealt with within 42 days	85%	**50%**
P9 c)	% of e-communications opened	45%	**42%**
P10	Number of unique visitors to website & page views	350,000/ 2,000,000	**296,156 / 1,364,268**
P11	% of Parish meetings attended once a year	86%	**72%**
P11 b)	Number of Parish meetings attended by Members	47 (combined)	**22**

5 Changes to Performance Indicators for 2018/19

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

E12 Promoting Understanding (NPA Family Indicator)
P6 Net additional employment floor space provided

5.2 Leadership Team also agreed that the performance indicator relating to the management of large scale organised events (E10) should be revised to include the number of events that do not proceed following notification to the Authority.

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 4.58 (2.97 in 2016/17) and per Member 0.90 (1.11 in 2016/17). The previous targets (when last set in 2013/14) were 5 and 1.5 days respectively.

7 Compliments & Complaints

7.1 We registered 54 compliments during 2017/18 (75 last year) across all services from members of the public, volunteers, service users and organisations.

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

The Officer was a crucial member and the delegates were in awe of Dartmoor and the Officer: his knowledge, energy, enthusiasm & passion was contagious. A formal thank you to your outstanding National Park and excellent work that education undertakes.

Thank you for showing me the majestic and glorious landscapes of Dartmoor. I was so impressed by its beauty. Great opportunity to meet farmers and land managers. I'm grateful for all that you and your colleagues are doing. All success for the future.

Thank you to Visitor Centre staff when we brought a group of students, some quite challenging, and one in a wheelchair. The staff could not have been more helpful. They were brilliant and a credit to the National Park.

Big congratulations, they are the cleanest public toilets I have ever used. I was expecting them to be closed. Congratulations to the lovely helpful man that cleans them.

Heartfelt thanks to Rangers who stopped to help after a pothole caused a huge puncture. One had the wheel changed in a trice whilst the other directed passing traffic. Thank you to my two heroes!

Thank you to the two Rangers at Postbridge who helped me when I slipped and broke my ankle. They came quickly, kept me warm and dry in an emergency shelter whilst they, and their Visitor Centre colleagues liaised with the emergency services. Their kindness cheered a miserable situation! We were well informed with what was happening, making me feel much more comfortable.

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

7.4 During 2017/18 the Authority received and managed 14 complaints (compared to 15 in 2016/17) under the formal stages of our Complaints Procedure. One complaint was referred to the Local Government & Social Care Ombudsman which was not upheld.

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

NEIL WHITE

Attachments: **Appendix 1 – Performance Indicators 2017/18 and targets for 2018/19**

20180525 NW PIs 2017-18

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
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	18	21	**17**	15
S4	% Length of water courses with 'high' or 'good' ecological status	CG	34.5%	38.0%	**TBC (June 18)**	xx% (Data supplied by Environment Agency)
S4	% Length of water courses with 'moderate' ecological status	CG	63.0%	59.0%	**TBC (June 18)**	xx% (Data supplied by Environment Agency)
S7	a) Number of known erosion sites	RS	only 20 forms returned by deadline. Incomplete stats	213 sites identified	213	220
	b) % of known erosion sites stable or improving	RS	55%	58%	**70%**	75%
Be an Excellent Organisation						
S10	% of income derived from sources other than National Park Grant	DH	21%	21%		25%

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
S11	% change in CO$_2$e from DNPA operations **(NB: Higher Uppacott was excluded in previous years)	DH	Buildings: 112,522kg - 6.5% Transport: 101,356kg +2%	Buildings: 124,336kg +10.5% Transport: 99,442kg -1.9%	**Buildings: 138,002kg +10.99% Transport: 102,014kg +2.58%**	Buildings: 0% Transport: 0%
			Overall: 213,876kg -2.45%	Overall: 223,778kg +4.6%	**Overall: 240,016kg +7.2%**	Overall: 0%
S12	Number of working days lost due to sickness per Full Time Equivalent (FTE)					
	a) including long term absence	NW	9.78	7.78	**7.82**	7
	b) excluding long term absence		4.19	4.19	**4.40**	4
S13	% of enforcement cases resolved without the need for formal action	JA/NS	93.10%	91.4%	**92.34%**	90%
S14	% of Membership attending Authority meetings	PB	Authority: 81% Development Mgt: 86% Audit & Gov'nce: 78% Overall attendance: 83%	Authority: 85% Development Mgt: 86% Audit & Gov'nce: 85% Overall attendance: 85%	**Authority: 82% Development Mgt: 80% Audit & Gov'nce: 94% Overall attendance: 82%**	85%
S15	% of invoices paid on time	CAR	99.92%	99.91%	**100%**	98%

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
S16	% of planning applicants satisfied with quality of the service received	CH/JA	Not collected	Survey not be conducted in 2016/17 (will be undertaken in 2017/18)	**Not completed - to be undertaken in 2018/19**	89%
S17	% of appeals allowed against DNPA decision to refuse consent (low figure is positive)	CH/JA	43.70%	40%	**24%**	33%
ENJOY - Promote a positive experience of Dartmoor National Park for Residents and Visitors						
E1	Number of visitors to Visitor Centres at:	RD	173,426	183,252	**187,534**	190,000
	a) Haytor	RD	40,804	46,157	**51,870**	52,000
	b) Postbridge	RD	59,150	57,811	**56,373**	58,000
	c) Princetown	RD	73,472	79,284	**79,291**	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	83.40%	79%	**88%**	85%
E3	Number of visitors to the National Park	RD	2.31	2.39m (for 2016)	**2017 figure to be reported in June 18**	2.4m (reported June 2019)

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
E4	a) Number of litter bags collected by DNPA staff or volunteers	?	704	1016	939	
	b) Cost of disposing of litter collected (includes Tavi Taskforce collection costs)	Finance	£19,470	£18,157	£14,525	£18,000
E6	Residents' satisfaction survey	DH	Frequency of reporting: every 3 years	2016/17 Survey completed May 2017		Not due until 2019/20
E7	Vistors Satisfaction: (a) survey	RD	Frequency of reporting: 3 years (Survey to be developed)	99% of the 306 people surveyed would recommend a visit to Dartmoor to other people	99% of the 306 people surveyed would recommend a visit to Dartmoor to other people	No survey 2018; now biennial
	(b) Trip Advisor (stars achieved)	RD	4.5 stars	4.5 stars average over 75 reviews	4.6 stars average over 67 reviews	4.5 stars
E9	Number of volunteer days attended by under-represented groups and % of total days (excluding older people)	NW	466 17.9%	412.5 29%	378 14% (of 2723.5 direct DNPA) *Data not captured for volunteer groups*	400

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
E10	Number of large scale organised events notified to the Authority and subsequently held on Dartmoor National Park (NB figures for large on road cycle "sportives" that we are not consulted on, are shown in brackets)	AW	48	44	**70**	no target - record of trends
	number of people participating	AW	11,303 (6,538)	8132 (6500)	**14,095**	reduce number of very large events
E11*	Public engagement events	CP	n/a (new PI from 2017/18)	n/a (new PI from 2017/18)	**135 events (6667 people)**	135 events (6000)
E12	Promoting Understanding: All Parks to submit a paragraph giving a 'case study' snapshot of what has been achieved (max 150 words): 1) The strategic fit / why the work is a priority to the NPA; 2) Identifie key activities undertaken; 3) Provide some qualtifiable outputs; 4) Information on outcomes where ever possible	LT (NW)	Submitted to JIG via Yorkshire Dales NPA 28/04/16	Submitted to Yorkshire Dales NPA 11/05/16	**DNPA not submitting return for 2017/18 (covered by 8-point plan reports and updates**	

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
PROSPER - Work towards ensuring Dartmoor has a thriving economy						
P1	% of planning applications dealt with in a timely manner:					
	a) major applications determined within 13 weeks *If over 13 weeks Nos of PPAs or Exts	CH (TJ)	50% *1	33% *2	**0%(2)**	50%
	b) minor applications determined within 8 weeks	CH (TJ)	74%	69.60%	**67%**	65%
	c) other applications determined within 8 weeks	CH (TJ)	85%	82.80%	**85%**	80%
P2	a) % of all planning applications determined which have been approved	CH (TJ)	88.50%	88.60%	**89%**	no target - success is positive decisions for Dartmoor
	b) % of pre-applications for minor and householder applications which have been dealt with within 28 days	CH (TJ)	n/a	77.90%	**89%**	90%
	c) % of pre-applications for major applications which have been dealt with within 42 days	CH (TJ)	n/a	73.30%	**50%**	70%

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
P3	a) Total number of volunteer days organised or supported by the NPA	NW	2601	1,481.50	2723.50 (direct DNPA) *plus* *5381.25 (conservation groups)* Total 8104.75	8000 (including volunteer conservation groups grant aided by DNPA)
			£75/volunteer day		£75/volunteer day	£75/volunteer day
	b) Value (expressed in £) of volunteer days	NW (via NPE)	£195,075	£111,112.50	£607,856	TBC
P5	Number of affordable housing units approved	DJ	13	10 A total of 18 units have been resolved to grant subject to S106 which has not yet been signed. 20 units on Chagford Masterplan site also awaiting S106 completion	39	20
P6	Net additional employment floor space approved	DJ	0.21	0.015092ha (150.92sqm)	**PI deleted**	
Improve support to and engagement with local communities						
P8	Media articles in WMN & Tindle Group [Dartmoor] papers	SH	498	414	442	420

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
P9	Number of:					
	a) Followers on Social Media	SH	10,200	21,703	**29,241**	40,000
	b) Subcribers to e-communications (running total)	SH	1,276	2,188	**3,690**	2,500
	c) % opened	SH	44%	42.50%	**42%**	45%
P10	Number of unique visitors to website & page views	AB	357,086 / 2,963,307	346,585 / 2,751,830	**296,156 / 1,364,268**	350,000/ 2,000,000
P11	% of Parish meetings attended at least once in the year	PB	91.5% (43 of 47)	70%	**72%**	80%
	Number of Parish meetings attended by:					
	a) Rangers / Officers	PB	41	35	**36**	36
	b) Members	PB	46	31	**22**	30
P12	DNPA attendance at Local shows					
	a) Number of shows attended	CP	17	15	**18**	18
	b) Number of contacts made	CP	1,694	1,903	**2,371**	2,000
P13	Number of parishes engaged in preparing a community led plan during the year with advice /assistance from DNPA	JR	8	7	**10**	6

Performance Indicators 2017/18 and Targets for 2018/19

Ref No.	How will we measure our achievement	Responsible Officer	Outturn 2015/16	Outturn 2016/17	Outturn 2017/18	Target 2018/19
P14	Donate for Dartmoor - Nature Fund	LT	N/A	£581	£979	Target for whole Donate for Dartmoor fund £25,000
P14	Donate for Dartmoor - Recreational Fund	LT	N/A	£14,477	£7,849	
P14	Donate for Dartmoor - Cultural Heritage Fund	LT	N/A	£339	£901	
P14	Donate for Dartmoor - General Fund	LT	N/A	£4,537	£8,566	
					£18,295	
P14	£ for the Park			£8,987		

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

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

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

25 May 2018

HEALTH & SAFETY ANNUAL REPORT

Report of the Head of Organisational Development

Recommendation: **That Members note the introduction of a new Health & Safety Policy for the Authority and changes to the strategic and operational management of occupational safety and health.**

1 Purpose of Report

1.1 This new 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. In January 2017, an independent review of health and safety management was completed which led to changes agreed by Leadership Team to retain the agreement with TDC with a revised focus effective from 1 July 2017.

2.3 In addition a three year agreement, effective from 1 July 2017, has been reached for strategic Occupational Safety and Health (OSH) advice from the Peak District National Park Authority. The principle purpose of this further agreement is to simplify, rationalise and make more consistent the systems and processes that are employed for OSH management. Thus avoiding the local reinvention of measures to address various OSH concerns and having common approaches to recognising suitable and sufficient solutions for National Park Authorities (NPAs). It is anticipated that this sharing of resources will, over time, significantly reduce overall resource demands. More positive assurances that all important OSH matters are being satisfactorily attended to, will be reinforced when shared by a number of NPAs.

3   Initial progress in making strategic OSH management changes and improvements

3.1   A new Health and Safety Policy has been introduced (see Appendix 1). The new policy is consistent with those at other NPAs, laying the ground for future performance management comparison and for the adoption of other supporting documents and processes. It has also given an opportunity to revisit the statements of intent that are included. Full implementation continues, including fully considering how the new policy will be supported and compliance monitored.

3.2   During 2017/18 we have implemented an electronic system for the management of Health & Safety Property files for all of our operational premises. The file for each property can be accessed from computers at any of our sites which will make the process of accessing the files much easier and also mean that they can be updated much more quickly than before.

4   Health and Safety Monitoring

4.1   Table 1 below identifies the recorded accidents, incidents, near-misses and dangerous occurrences for the previous 3 years:

Year	No.	No. notifiable under RIDDOR*
2015/16	26	0
2016/17	14	1
2017/18	26	0

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.

4.3   The number of near-misses reported is low across all Parks and this is a target for future priorities in relation to encouraging individuals to report near miss incidents. A comparison of incident data for all parks continues and will be more fully reported on when sufficient data has been gathered to provide useful information.

5   Key actions for 2018/19

5.1   An action plan has been developed 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 2018-2019 include:

- Continue policy review; updating OSH guidance and procedures and identifying gaps in provision
- Introduce new generic risk assessments for sixteen distinct topics identified as particularly relevant for NPAs
- Develop corporate OSH training record and programme

- Continue OSH training for members of Leadership Team and identified managers

5.3   Through the recently acquired e-learning platform (ELMS) a range of OSH training modules tailored specifically to meet NPA needs is being introduced. While certainly fairly generic and basic in many respects, this does allow at least that level of training to be efficiently delivered. This training will evolve and improve over coming months, however, further training will still be necessary.

5.4   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 the 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.   Actions to ensure further, continuous improvement in OSH management will continue to be prioritised during the coming year.

NEIL WHITE

Attachments: Appendix 1 - Health & Safety Policy Statement 2018

20180525 NW H&S

"Through the way we work and behave, all our people and working partners will be protected from risks of occupational injury or ill health."

PART I

Our Health and Safety Policy: Statement of intent

It is our intent to demonstrate an ongoing and determined commitment to improving health and safety at work throughout our organisation.

We will ensure the health and safety at work of all our people and any other people who may be affected by our work activities. We will comply with the requirements of health and safety legislation.

We will aim for excellence in health and safety by adopting good practice for National Park Authorities (NPAs), meeting or exceeding the guidance of the Health and Safety Executive and other regulatory bodies.

This policy reflects our commitment to ensuring that health and safety at work is paramount to our purpose, and that effective health and safety actively contributes to our success.

1. AWARENESS: "All our people and the people we work with, have an awareness and understanding of health and safety hazards and risks that affect our business."

1.1 Health and Safety Policy statement.

Adequate resources will be provided to ensure all our people, contractors and working partners are aware of this policy and committed to its effective implementation.

1.2 Communication and consultation.

There will be active open communication and consultation between all our people, contractors and working partners. Health and safety will be integrated into our communications, wherever appropriate.

1.3 Management roles and responsibilities.

Roles and responsibilities for health and safety will be defined, as necessary, within job descriptions and routinely included in work programmes. Management will ensure that:

- adequate resources are provided for health and safety;
- health and safety is adequately assessed, controlled and monitored; and
- our people are actively involved on matters that affect health and safety.

1.4 Hazard identification.

We will identify our workplace health and safety hazards. We will inform our people, contractors and working partners, as appropriate, of these workplace hazards.

We will require, as far as is practicable, our contractors and working partners to identify any health and safety hazards they create or control, that may impact on our work activities.

2. COMPETENCE: "All our people and working partners have the competence to undertake their work with minimum risks to health and safety."

2.1 Health and safety training.

All our people will be adequately instructed and trained on the health and safety issues that affect them, and the safe working practices that should be followed.

We will ensure the health and safety competence of our contractors and working partners.

2.2 Behaviour and culture.

The Leadership Team (LT) will demonstrate leadership in health and safety, ensuring that health and safety issues are identified, assessed and managed. Systems will be in place and people will be empowered to raise health and safety concerns with all levels of management. Where it is identified that a serious health and safety matter has not been adequately dealt with, these matters may be 'escalated' for LT intervention.

2.3 Risk assessment and management.

We will assess the risks associated with health and safety hazards in the workplace. All our people will be informed of the health and safety hazards and risks that affect their work. We will take action to prevent, reduce or control risks to an acceptable level and reduce the potential for incidents and accidents. We will require our contractors and working partners to identify health and safety risks that may impact on our work activities.

3. COMPLIANCE: "Our work activities achieve compliance with legislation, and our people are empowered to take action to minimise health and safety risks."

3.1 Incident investigation.

We will report and investigate accidents, incidents and near misses to drive improvement in our health and safety management. Any lessons learned from such events will be used to take corrective action to prevent recurrences.

3.2 Measuring performance.

We will actively and openly, review and report on our health and safety performance against agreed objectives and targets. Action plans will be developed to support the delivery of these objectives and targets.

3.3 Health and safety management system.

We will implement management systems to ensure we:

- comply with health and safety legislation; and
- continually improve our health and safety performance.

3.4 Contractor improvement.

We will engage and collaborate with our contractors to ensure their:

- health and safety capability and competence fulfil our expectations;
- health and safety performance is monitored and reviewed; and
- work activities have minimal health and safety impacts on our activities.

4. EXCELLENCE: "The NPA is recognised for excellence in the way it manages health and safety."

4.1 Developing innovative practices.

We will support the development of health and safety good practice working alongside other NPAs.

4.2 Influencing working partners.

We will, wherever practicable, only work with others who are willing to meet and achieve our health and safety expectations. We will engage and influence working partners to drive improvements in health and safety.

4.3 Work-related health.

We will assess our occupational health risks. All our people will be informed of the occupational health risks that affect their work. We will take action to prevent, reduce or control occupational health risks to an acceptable level and reduce the potential for ill health, including assessing all our people's fitness for work. Health surveillance will be conducted, as necessary.

PART II

5. Delivering our policy

Our policy will be delivered by:

- generating a culture that does not tolerate threats to health and safety
- ensuring the real involvement of all our people, contractors and working partners
- all Directorates, Services and Teams implementing management systems and processes that fully explain how this policy will be delivered in the workplace

5.1 Organisation and arrangements for implementing the Authority's Health and Safety Policy

Roles and responsibilities for Authority Members, all tiers of management, those with special responsibilities for occupational health and safety and for all staff are clearly stated in job descriptions.

5.1.1 Authority Members

Authority Members have a duty to ensure that health and safety is effectively managed through the organisation. Having delegated authority to deal with health and safety matters to the Leadership Team and Heads of Services/Team Managers, Members ensure that there are in place comprehensive corporate health and safety arrangements through the scrutiny of reports at the Audit & Governance Committee.

5.1.2 Chief Executive Officer and the Leadership Team

The Chief Executive Officer (CEO) is responsible for providing leadership to LT. LT is responsible for setting the strategic direction of health and safety management, ensuring delivery and for monitoring and reviewing health and safety performance. LT shall receive an annual report on safety performance from the Safety Officer (currently provided by Peak District NPA) and conduct an annual review of this Policy.

5.1.3 Leadership Team shall:

(a) allocate appropriate resources to enable Heads of Services and Team Managers to discharge their health and safety responsibilities;

(b) commission investigations in the cause of work-related accidents which involve a fatality, specified injury, occupational disease or dangerous occurrence, as defined in the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR).

5.1.4 Head of Organisational Development

The Head of Organisational Development will act as LT lead on health and safety, including representation from and to the Health, Safety and Wellbeing Committee.

5.1.5 Heads of Service/Team Managers

Heads of Service shall be responsible for putting the Authority's policy arrangements into practical effect to properly manage workplace risks for their service(s). Though this may in practice be devolved to other staff and services, the responsibility will remain with the Head of Service.

Heads of Service/Team Managers are responsible for the day-to-day operational safety management of their team members and others working with or for them, for risks which they create or have control over. Key safety management tasks include:

(a)   ensuring that all employees (and particularly those engaged in high risk activities) are given sufficient information, appropriately supervised and/or trained and are suitably competent, for the tasks they are expected to undertake;

(b)   where necessary, the production, maintenance and use of suitable and sufficient risk assessments;

(c)   ensuring that all safeguards and safety procedures identified by risk assessments and by other relevant documents, such as manufacturers operating instructions, are properly used and followed;

(d)   ensuring that an incident report form is completed and received for any significant incident, including: accidents, near-misses and incidents of violence;

(e)   consider, for all reported incidents received, whether any further action is necessary and for these incidents complete an incident investigation report. Completed reports are sent to a Director/Head of Service for comment;

(f)   ensuring appropriate arrangements are put in place for dealing with emergencies;

(g)   ensuring that work to be carried out by contractors is organised and managed so that risks to Authority staff, contractors and members of the public are reduced to the lowest practicable level.

5.1.7 Employees and Authority Members

There is a general legal requirement for all those at work to work safely, so that neither they nor anyone else is put at risk. This means that:

(a)   employees and Members shall co-operate with managers so that the Authority is not prevented from carrying out its legal obligations;

(b)   all safeguards, safety procedures and other controls identified by risk assessments shall be complied with;

(c)   any accident, near-miss or violent incident shall be reported promptly to the appropriate line manager using an official accident report form.

5.1.8 Role of the Health & Safety Adviser

The Authority has a service level agreement with Teignbridge District Council that provides access to a professional health and safety service, including an appointed Health & Safety Adviser, who is responsible to the Head of Organisational Development. The role of the Health & Safety Adviser includes:

a) the provision of competent advice in respect of Occupational Health and Safety (OHS) to the Authority, its officers and staff;

b) carrying out premise and service OHS inspections and audits identifying any matters requiring attention, giving advice and assisting in the completion of those actions where appropriate;

c) assisting line managers in the preparation and review of specific risk assessments, on request;

d) supporting the provision of OHS training as necessary/appropriate;

e) conducting incident/accident investigations as directed by the Authority and its officers.

The Authority has a further service level agreement with Peak District National Park Authority for the provision of strategic health and safety advice and support via their appointed Safety Officer. The role of the Safety Officer includes:

f) the introduction, maintenance and continuous development/improvement of suitable corporate systems and processes to ensure key statutory obligations are met in respect of OHS;

g) the production, presentation and ratification of an annual OHS report providing evidence of the Authority meeting its statutory obligations, making continuous improvements in OHS management, identifying incidents and actions taken in the previous year and planning for further improvements.

5.1.9 Role of Safety Representatives

Safety Representatives play a key role in promoting and supporting good health and safety management. Safety Representatives are all members of the Health, Safety & Wellbeing Committee and represent all areas of the Authority and its staff. The role of Health and Safety Representatives includes:

a) participating as a member of the Health, Safety & Wellbeing Committee and attending meetings of the committee as required;

b) promoting good health and safety practice;

c) acting as a point of contact for all staff, volunteers and members for all matters concerning occupational health and safety;

d) encouraging and monitoring incident and near-miss reporting and initiating further incident investigation, where necessary;

e) monitoring and reporting on working practices to line managers in accordance with a forward work programme agreed by the Health, Safety & Wellbeing Committee;

f) reporting all activity performed and findings to the Health, Safety & Wellbeing Committee.

PART III

6. Governance arrangements

6.1   A Health, Safety & Wellbeing Committee is constituted under the Safety Representatives and Safety Committees Regulations 1977. It comprises:

- Head of Organisational Development
- Head of ICT & Premises
- UNISON Accredited H&S Representative
- Health & Safety Adviser
- Staff representatives

The Committee, which has both consultative and performance management roles, shall routinely meet four times a year in January, April, July and October. At the April meeting the Committee will:

(a) receive and review the Health and Safety Annual Report from the previous year. This report shall include performance information;

(b) agree and set strategic objectives for the following year. This to include health and safety training and system developments including new documentation such as policies, procedures, codes of practice, briefing notes and other guidance;

(c) consider any further safety matters raised by UNISON and staff.

At the October meeting the Committee will:

(d) receive, review and agree the Health and Safety Policy to be implemented the following year;

(e) receive an update on progress with meeting strategic objectives (see above);

(f) consider any further safety matters raised by UNISON and staff.

The constitution of the Committee allows for the co-option of other members of staff and specialists as necessary.

The Committee may convene a meeting at any other time, as necessary, to be arranged by mutual consensus.

6.2   Leadership Team (LT) receives, reviews and approves the Annual Report and the Health and Safety Policy following the respective Health, Safety & Wellbeing Committee meetings for implementation the following year. LT also receives, reviews and approves health and safety good practice for NPAs and will consider adopting this as DNPA policy for dealing with particular safety

matters in accordance with agreed strategic objectives. LT may also receive reports of safety matters escalated to executive level for action and incident investigations sponsored by its' members.

6.3   The Joint Staff Forum receives, for information, minutes of the Health, Safety and Wellbeing Committee.

6.4   The Audit and Governance Committee receives for approval the Annual Report on Occupational Safety and Health and any revised Health and Safety Policy for implementation. The Audit and Governance Committee receives such reports on behalf of the Authority.

Signed on behalf of Dartmoor National Park Authority

…………………………………………………….   Date:………………………

Chief Executive (National Park Officer)

Signed on behalf of DNPA UNISON

…………………………………………………….   Date:…………………………

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

25 May 2018

2018/19 STRATEGIC RISK REGISTER

Report of the Head of Organisational Development

Recommendation: **That Members approve the updated Strategic Risk Register for 2018/19 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 2018/19 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, including the specific addition of the new Visitor Centre at Postbridge (S6), 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	8
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.* Members will note updates relating to performance management (P4) following the review of the terms of reference for Audit and Governance Committee and assurance and governance training provided to Members in December 2017.

2.6 Workforce planning and resilience (S4) and the impact of absences remains an area of high risk given the size and scope of our organisation and operations. Members are advised that the introduction of a Planning Enabler and part-time posts should provide greater resilience within Planning Service.

2.7 Plans to pilot new content in parish and community newsletters (P2) have not progressed as quickly as intended and this work to improve awareness and understanding of our work will be progressed this year.

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/17/006

Attachments: Appendix 1 – 2018/19 Strategic Risk Register

20180525 NW 2018/19 Strategic Risk Register

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2018/19

Risk Category: PERFORMANCE

Risk Ref P1	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	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

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

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2018/19

Risk Category: PERFORMANCE

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

Additional control measures planned

Communications & Community engagement are priorities for the Authority. A communications strategy has been developed to address a clearer, more strategic approach to organisational communications as well as supporting staff and members to engage in two-way communications with their key audiences. This will be implemented over the next two years.
Residents' survey undertaken in 2013 and 2017 (to be repeated 2019/20) and outcomes have been used to improve communication with local communities. Planning Service user satisfaction surveys undertaken periodically (next due 2018/19)
Increased presence at Parish meetings and local special interest groups – need to consider process for briefing in advance of the meetings and how we feedback after the meetings. Pilot new content in parish/community magazines/newsletters to improve awareness and understanding of our work.

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

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

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

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2018/19

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					
Planning to setup a daily online backup of our systems at Parke to a datastore at our Princetown site during 2018, to improve disaster recovery and reduce our reliance on backup tapes					
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 2018/19

Risk Category: PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P4	Inadequate focus on Performance Management (including customer service)				
	Consequence if no action Individual and organisational performance not monitored. Low achieving Authority Unclear targets and objectives. Resources not targeted Reputational risk for the Authority. More complaints.	Business Plan & Annual Review Organisational Development Strategy Service planning/Service dashboards Audit & Governance Committee with clear remit to monitor and challenge performance. Suite of PIs that are focused on delivering against the Business Plan Parke House Project Management and staff trained maintaining focus on effective project management Robust and highly visible process for monitoring of key actions in the Business Plan. Detailed and thorough performance reporting and analysis by Leadership Team and Audit & Governance. Agreed new Performance Improvement Policy Customer Service Standards introduced 2016/17 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 2018/19

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 (which will be replicated as the new NPMP is produced). Pre-consultation to ensure partners are agreeable with actions and nominated lead organisation and understand their role, responsibilities and accountabilities Delivery Board Actions plans are reviewed and revised annually to take into consideration changes circumstances/ resources Progress is monitored via a system of steering groups for each theme (with a wide membership) and an overarching Delivery Board, comprising key stakeholders, engaged in project delivery.	3	3	9
Additional control measures planned					
Review of the Management Plan underway (2018/19) providing a further opportunity to ensure that there is support for the Management Plan on an ongoing basis. 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 2018/19

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 established for 2018/19.

Resources required: Staff time

	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
Planned Residual Risk			
	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 2018/19

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. Head of Organisational Development attended IOSH 'Leading Safely' course in June 2017. All of LT will attend over next 2 years. Increased focus on strategic management of occupational health and safety – key competencies and KPIs being developed. Health & Safety training provided (April 2018) and further H&S training plans being developed, including risk assessment training in 2018/19.					
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 2018/19

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2018/19

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 training planned during 2018/19					
Resources required: Staff time and resources to deliver an effective programme. May need external support – can be funded via the Project Fund					
Planned Residual Risk			**Probability (5=high, 1=low)**	**Severity (5=high, 1=low)**	**Planned Residual Risk Rating**
			3	5	15
Outcome Well informed, motivated workforce Effective leadership Appropriately supported and trained staff					

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2018/19

Risk Category: STRATEGY

Risk Ref **S4**	Risk Description Workforce planning/resilience: limited capacity to cover for absences of key posts. Difficulty to recruit to certain posts.	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	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. Introduction of Planning Enabler and part-time posts will provide greater resilience within Planning Service.					
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 2018/19

Risk Category: STRATEGY

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

Additional control measures planned

Effective project management (Red) - regular updates to Leadership Team throughout

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

	Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
Planned Residual Risk			
	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 2018/19

Risk Category: STRATEGY

Risk Ref S6	Risk Description New Visitor Centre at Postbridge	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Consequence if no action Failure to get design approval from the Duchy of Cornwall or planning permission Failure to negotiate new lease as per exchange of terms Failure to secure the full funding bid. Costs of the construction escalating once the project is tendered. The project over running meaning we do not meet the completion deadline for funding.	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 Head of Communications & Fundraising Head of Business Support (S151 Officer) also on team to ensure financial risks are controlled	3	5	15

Additional control measures planned
Effective project management given challenging timeframe 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: Project Team (staff and Member) time to manage project to advise on and process planning applications			
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 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 2018/19

Risk Category: FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F1	Potential for further reductions in National Park Grant (NPG) 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 2018/19 and has approved a robust MTFP. Ongoing workforce and resource planning to match revenue and resources to deliver outcomes Developing new strategies and ideas to generate other income streams, to reduce reliance on NPG Robust level of Reserve Balances maintained Strong budget management and procurement performance and evidence of using resources efficiently and effectively	4	5	**20**
Additional control measures planned					
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 2018/19

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
	Inadequate financial management				
	Consequence if no action Unfunded budget variance. Under spend of core grant Reputational damage	Robust Budget monitoring and procurement process. Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Staff training on procurement rules and procedures Devolved budgets with clear accountability supported by timely and accurate financial reporting Quarterly reports to Leadership Team & A&G Committee Training for staff in financial management	2	4	8

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

Resources required: Staff time and training resources

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

Outcome
Financial outturn on target

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2018/19

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 2018/19

Risk Category: FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F4	*Moor than meets the eye* Heritage Lottery Fund Landscape Partnership Scheme: risk to the Authority as lead partners regarding cash flow and reputation				
	Consequence if no action Reputational damage if the scheme is not delivered on time and to budget Potential cash flow issues for the Authority if the scheme is not delivered on time and to budget Reputational issues for the Authority as lead partners if local community not engaged and supportive of all projects	Scheme Manager appointed with strong project management experience. Continued dialogue through quarterly monitoring meetings with Community Stakeholders Group, Landscape Partnership Board, HLF and project Leads to share Scheme, Project and risk management Agreed Communications Strategy and Plan implemented and reviewed yearly. Some slippage has occurred, implications are discussed and revisions agreed with Board and partners. Quarterly Landscape Partnership Board, HLF Monitoring and budget monitoring with DNPA Head of Business Support meetings. Detailed performance reports to Audit & Governance Committee and yearly review to Authority in December	3	5	15
Additional control measures planned					
Scheme Manager to focus on strategic delivery of the Scheme – to include finance and performance management. Changes and risk to delivery identified early. Risk to be continually monitored. Role of Landscape Partnership Scheme Board is strategic.					
Resources required: Staff time and financial resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome Prompt action when slippage or new risk identified resulting in successful delivery of the scheme.					

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

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2018/19

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 2018/19

Risk Category: GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G2	Inadequate procurement practice				
	Consequence if no action Failure of partners/contractors Schemes not delivered on time or over budget. Damage to reputation. Value for Money not achieved Sustainability principles not applied Procurement rules not followed providing opportunity for challenge	Member of Devon & Cornwall Procurement Partnership. Financial appraisal. Risk Assessments. Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Staff training on procurement rules and procedures Contract conditions. 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 2018/19

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 2018/19

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 2018/19

Risk Category: GOVERNANCE

Risk Ref G5	Risk Description Changes in legislation/failure to implement new legislation or policy	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
	Consequence if no action Financial cost/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

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

25 May 2018

MOOR THAN MEETS THE EYE (MTMTE)
LANDSCAPE PARTNERSHIP SCHEME

Report of the *Moor than meets the eye* Scheme Manager

Recommendation: **That Members note progress to 28 February 2018 (end of HLF Y4Q2)**

1   Background

1.1   The Heritage Lottery Fund (HLF) granted Permission to Start on 18 August 2014 following the *Moor than meets the eye (MTMTE)* Landscape Partnership Scheme's (the Scheme) successful Round 2 application to the HLF Landscape Partnership Programme grant fund. This triggered the transition from the 'Development' to the 'Delivery' Stage.

1.2   The HLF has granted up to £1.9m towards the Scheme's total budget of £3,843,183 giving an Intervention Rate of 49.4%. The remaining funding comes from the *MTMTE* Partners.

1.3   There are 35 coordinated Projects within the Scheme. Each Project has a partner who is responsible for delivery (there are 13 partners in total). As Lead Partner, Dartmoor National Park Authority (the Authority) is responsible for the general administrative, financial and management functions of the Scheme. These include:

- Overall administration of the Scheme
- overall monitoring of actions and projects undertaken in the delivery of the Scheme
- responsibility for completing and submitting grant claims to the HLF on behalf of the Projects within the Scheme
- taking receipt of grant claim monies from the HLF
- making payments to Project Partners
- retaining core documents and records relating to the Scheme for audit and governance purposes.

1.4   Representatives from the 13 Partners form the Landscape Partnership Board (the Board) and provide strategic oversight and direction for the Scheme and the *MTMTE* Staff Team.

1.5   The Projects vary in duration but all must be delivered by 17 August 2019 (five years after the Permission to Start), unless otherwise agreed with the HLF.

2 Purpose of the report

2.1 This report presents key financial and risk information on *MTMTE*'s progress. It focusses on the impacts on the Authority in its role delivering some of its constituent Projects and administering the Scheme overall in its role as Lead Partner and Accountable Body.

2.2 The Authority (including its *MTMTE* Staff Team and Dartmoor Hill Farm Project staff) is leading the following Projects:

Ref	Name	Budget
PA2	Haymeadows	£9,000
PA3	Natural Connections	£9,000
PA5	Unveiling the heritage of the High Moor and Forests	£79,000
PA6	Higher Uppacott	£153,250
PA7	Ponies, Pounds and Driftways	£34,000
PA8	Ancient Boundaries, Modern Farming	£100,000
PA9	Hameldown WWII Bomber Crash Archaeological Survey	£2,300
PB1	Bellever and Postbridge Trails	£124,400
PB2	Parishscapes	£175,386
PB3	Moor Medieval	£25,000
PB5	Welcome to Widecombe	£49,430
PB6	Managing Volunteers	£20,000
PC1	*MTMTE* Interpretation - Discovering the Dartmoor Story	£177,986
PC6	Heritage Trails	£9,900
PC8	Postbridge Visitor Centre	£184,920
PD4	Heritage Skills Training	£83,215
PD5	Conservation Apprentices	£67,900
PD6	Dart Valley in Focus	£33,000
	Total	**£1,337,687 (38% of the Scheme)**

2.3 The Board uses a simple Red/Amber/Green (RAG) traffic light system to summarise the overall position and 6 key project performance indicators across the Scheme and is attached at Appendix 1.

3 Funding position

3.1 As the Lead Partner and Accountable Body, the Authority carries a significant risk in managing the Scheme and the Scheme Cash Flow position; in addition to its project delivery role listed above.

3.2   The Authority has committed a £200k contribution to the Scheme's Common Fund, which is match-funding for the *PA6 - Higher Uppacott* and *PC8 - Postbridge Visitor Centre* projects. The Authority still needs to commit this money to the Scheme to enable full delivery, regardless of individual project delivery and success.

3.3   The Scheme budget is £3,843,183 with HLF contributing up to £1.9m over the lifetime of the Scheme. The remaining funding comes from the *MTMTE* Partners and together forms a single, 'common fund' used to manage Project cashflow and overall Scheme delivery.

3.4   The Scheme's funding comprises a mix of:

- Cash (secured and unsecured, for example from potential Project income such as book, leaflet and ticket sales)
- The notional value of In-Kind contributions
- The notional value of Volunteering contributions
- HLF grant drawn down by each Project.

3.5   The Scheme has spent £2.519m to the end of the last claim period on 28 February 2018 (HLF Y4Q2), drawing down £1.245m (66%) of the HLF funding, after 70% of time into the 5 year Delivery stage. So, we are slightly behind schedule on a pro-rata basis but are currently forecast to complete and drawdown all of the funding available by Scheme completion.

3.6   However, the last two quarters have seen slippage against Project Leads' forecast costs for these periods by around 60% in each quarter (-£345k in total). So, there is some concern over the level of confidence in Project Leads' forecast costs, which continue to be monitored by the Scheme Manager and reported to Board and HLF. The Scheme Manager will be undertaking a comprehensive assessment of all projects during the summer of 2018 to ensure that the HLF, Project Board and the National Park Authority as lead partner can enter the final year confident that projections are as accurate as possible.

3.7   The Scheme has a £114k target for volunteering input on specific projects, equivalent to 2,280 'unskilled' days. We exceeded this target in 2016 and our volunteers have already kindly given: 2,233 'Unskilled', 1,254 'Skilled' and 88 'Professional' days, equivalent to almost £331k in contributions across the Scheme. £90k of this has been earnt on eligible Projects where we can claim these contributions against the Scheme's £114k claimable target. The HLF has indicated that they would accept porting-over of this added-value volunteering contribution if specific Projects are unable to deliver their individual volunteering input targets.

4   Risk position

4.1   The Scheme's strategic risk register submitted as part of the HLF bid was a simple probability times severity matrix identifying seven, high-level risks. No provision was made in either the budget or schedule (in terms of cost and time impact) to deal with these risks if they were realised.

4.2   The majority of the Projects identified some risks during their delivery as part of their Project Proformas submitted to the HLF as part of the bid. Limited, if any, provision was made in their Project budgets however to deal with these risks.

4.3   The Scheme Manager introduced a Quantified Risk Register (QRR) to more accurately identify, quantify and manage risk. This is the typical model used to develop, control and deliver Government/Local Authority projects.

4.4   The QRR is a live document throughout the course of the Scheme and is influenced by the Projects' individual risks. These risks will either be realised, part-realised or not occur as the Projects progress and eventually disappear as the Projects and Scheme complete.

4.5   The QRR currently totals £285k (7% of the Scheme budget) and is an estimated worst case scenario if all identified risks are realised at Scheme completion. Obviously this is unlikely to be the case and this figure will reduce over time as projects are delivered without encountering these risks.

4.6   The Scheme's current liabilities total £26,050 (<1% of the total Scheme budget). This consists of higher than budgeted *MTMTE* Staff Team overhead costs through salaries (£20,344, +3.2%) and transport & subsistence (£5,705, +114%). The costs outlined in 4.5 and 4.6 are already provided for by the Authority through its allocation in Reserves.

        The unbudgeted item in PE7 (currently £18,931.23) are costs that the Authority are not able to claim as lead partner. These have been absorbed by the Authority on an annual basis, it is forecast another £870 costs of this nature by scheme completion.

4.7   During the last six months, we have re-scoped six stalling or non-deliverable projects and successfully negotiated key changes with the HLF. However, two key projects remain with considerable risk attached:

        4.7.1   PC5 – Wray Valley Trail
                The Devon County Council (DCC)-led multi-use trail has been the Scheme's key match-funding project, generating £845k into the Scheme's common fund, used to fund other projects in the Scheme. All of this has now been secured following works in winter 2017. The route however, is not yet complete and needs to be open in order to deliver the outcomes for HLF. The Scheme Manager is in discussion with the Project Lead about this.

        4.7.2   PC8 – Postbridge Visitor Centre
                Members will be aware of the recent rescoping, the risks attached to a new build project and the decision to approve the project at the 4 May 2018 Authority meeting.

5   DNPA Business Plan alignment and monitoring

5.1   Specific monitoring of these projects is performed through quarterly reporting to leadership team, the *MTMTE* Board, the HLF and separately through an annual report to Authority and this report to the Audit & Governance committee.

6   Summary and Conclusion

6.1   The scheme is progressing well with significant delivery now taking place. On a pro-rata basis the scheme is slightly behind schedule in terms of £ spent but a much improved position from that at the end of year 1 and 2. Continued monitoring and accurate forecasting is now essential to ensure that the remaining outputs are delivered, hence reducing the financial risk associated with the Quantified Risk Register. Although it is unlikely that all of these risks will materialize the Authority has allocated adequate reserves to cover them.

7   Equality and Sustainability Impact Assessment

7.1   The projects being delivered were selected to improve access to and understanding of the *MTMTE* (and wider Dartmoor) area by all sectors of society; support local communities and businesses; and deliver a range of environmental benefits.

7.2   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.

MARK ALLOTT

Attachments: Appendix 1 – RAG Project Summary Status

20180525 MA MTMTE

MTMTE - Landscape Partnership Scheme
Project Status

ID	Project	Budget	Expenditure (£ to Y4Q2 end)	Project Performance - Status (RAG)							Lead Org
				Overall	Schedule (Timescale)	Quality	Cost position	Scope	Benefits	Risk	
PA1	Moorland Birds	£ 89,296.00	£ 48,407.76	G	G	G	A	G	G	G	RSPB
PA2	Haymeadows	£ 9,000.00	£ 6,896.89	A	A	G	A	A	G	A	DNPA
PA3	Natural Connections	£ 9,000.00	£ 4,972.82	A	A	G	A	A	G	A	DNPA
PA4	Discovering the Nature of the Bovey Valley	£ 266,445.00	£ 218,117.46	G	G	G	A	G	G	G	NE / WT
PA5	Unveiling the heritage of the High Moor and Forests	£ 79,000.00	£ 45,682.04	G	G	G	A	G	G	G	DNPA
PA6	Higher Uppacott	£ 153,250.00	£ 164,726.86	A	G	G	A	A	G	A	DNPA
PA7	Ponies, Pounds and Driftways	£ 34,000.00	£ 7,660.00	G	G	G	G	G	G	G	DNPA
PA8	Ancient Boundaries, Modern Farming	£ 100,000.00	£ 36,234.50	G	G	G	G	G	G	G	DHFP
PA9	Hameldown WWII Bomber Crash Archaeological Survey	£ 2,300.00	£ 1,829.00	COMPLETE							DNPA
PB1	Bellever and Postbridge Trails	£ 124,400.00	£ 18,617.63	A	A	G	A	A	G	A	DNPA
PB2	Parishscapes	£ 175,386.25	£ 100,885.44	G	G	G	G	G	G	G	DNPA
PB3	Moor Medieval	£ 25,000.00	£ 15,430.69	G	G	G	G	G	G	G	DNPA
PB4	Engaging with the Nature of the Bovey Valley	£ 156,003.00	£ 94,424.67	G	G	G	G	G	G	A	NE / WT
PB5	Welcome to Widecombe	£ 49,429.88	£ 13,132.25	A	A	G	G	G	G	G	DNPA
PB6	Managing Volunteers	£ 20,000.00	£ 7,039.71	G	G	G	G	G	G	G	DNPA
PB7	In the Footsteps of the Victorians	£ 102,087.00	£ 56,416.90	G	G	G	G	G	G	G	DNPA
PB9	Moor Boots	£ 20,000.00	£ 10,840.34	G	G	G	G	G	G	G	DPA
PB10	Whitehorse Community Play	£ 14,350.00	£ 13,370.00	G	G	G	G	G	G	G	MED Theatre
PC1	Discovering the Dartmoor Story	£ 177,986.00	£ 67,251.29	G	A	G	G	G	G	G	DNPA
PC4	Brimpts Tin Trail	£ 12,300.00	£ 11,682.20	G	G	G	A	A	G	A	DTRG
PC5	Wray Valley Trail	£ 845,000.00	£ 845,000.00	A	A	G	G	G	G	A	Devon CC
PC6	Heritage Trails	£ 9,900.00	£ 9,900.00	G	G	G	G	G	A	G	DNPA
PC7	Fernworthy Reservoir Improved Access	£ 120,846.00	£ 120,846.00	COMPLETE							SWLT
PC8	Postbridge Visitor Centre (interpretation & roundhouse)	£ 184,920.00	£ 7,222.50	A	A	G	A	A	G	A	DNPA
PD2	EcoSkills	£ 199,500.00	£ 196,737.73	G	A	G	A	G	G	A	NE
PD4	Heritage Skills Training	£ 83,215.00	£ 13,623.09	G	A	G	A	A	G	A	DNPA
PD5	Conservation Apprentices	£ 67,900.00	£ 10,496.69	G	G	G	A	G	G	G	DNPA
PD6	Dart Valley in Focus	£ 33,000.00	£ -	G	G	G	G	G	G	G	DNPA
PE1	Staff Team	£ 631,177.28	£ 440,771.46	R			R	G		R	DNPA
PE2	HERO and GI Staff for PC6	£ 11,338.00	£ 10,090.91	G			G	G		G	DNPA
PE3	Transport and Subsistence	£ 5,000.00	£ 5,000.00	R			R	G		R	DNPA
PE4	Training	£ 3,000.00	£ 1,920.94	G	G	G	G	G	G	G	DNPA
PE5	Monitoring and Evaluation	£ 20,000.00	£ 10,480.40	G	G	G	G	G	G	G	DNPA
PE6	Moor than meets the eye Website	£ 6,500.00	£ 5,721.37	COMPLETE							DNPA
PE7	Unbudgeted items	£ -	£ 18,931.23	R	R	R	R	R	R	R	DNPA