

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

16 May 2014

**PLANNING DIRECTORATE PERFORMANCE REPORT
(APRIL 2013 – MARCH 2014)**Report of the Director of PlanningRecommendation : **That Members note the content of the report****1 Purpose of report**

- 1.1 To advise Members of progress against targets and to provide opportunity for question and challenge

2 Review of Development Management performance 2013/2014

- 2.1 Appendix 1 which sets out the figures for planning applications, pre-application enquiries and enforcement work for the year. The total number of applications received has increased to 702 from a figure of 629 for 2012/13. This is an indication of the recovery in the local economy. The number of applications outstanding at the end of the year has fallen slightly to 121 (126 at the end of 2012/13) and the average number of days taken to process has also fallen to 64 (from 74).
- 2.2 With regard to Minor and Other Applications performance has radically improved. The team has met its targets for Minor Applications in the last three quarters, and for Other Applications (includes householder) in all four quarters. The secondment of one of the planning technicians has worked well and provided additional capacity.
- 2.3 Major Applications - performance is affected by the inherent complexity of such applications and therefore does result in a longer period to determine. In addition, it is usually the case that such applications require a Section 106 Agreement, which can cause delay, resulting in the target being breached. The Government has now introduced a requirement that all authorities should deal with at least 30% of major applications in the required timescale. Those Authorities that do not will be considered as poor performers. This performance threshold is likely to be raised in the future. However, this Authority enters into Planning Performance Agreements with applicants wherever possible.
- 2.4 It is also pleasing to note that the percentage of applications approved remains high at 86% which reflects the good work of the team in resolving issues prior to determination, whilst still being able to meet government performance targets. The percentage of applications delegated to officers is slightly lower than last year at 87% (88% in 2012/13)

3 Appeals performance

- 3.1 With regard to appeal performance this also needs to be highlighted as a success story. The team has responded positively to the changes in the organisational structure over the last few years, and performed well against a government target of 33% of appeals upheld (67% dismissed). The team dealt with 17 appeals with only 4 being upheld which equates to 23% (77% dismissed).
- 3.2 This Government target can be considered a qualitative one in that the significant majority of refused applications are in line with government policy (as expressed by independent inspectors). The link between pre-application advice, quality applications and appeal results is something that we will consider as part of the work on charging on pre-application advice (see below).

4 Preliminary Enquiries

- 4.1 Demand for preliminary advice remains high. This year the team dealt with 939 written enquires (817 in 2012/13), with an average written response time of 21 days, therefore well within the 28 day target. All enquiries were dealt with free of charge. This committee has determined to instruct Officers to investigate options for introduce charging for Pre-application advice (NPA/AG/14/035) and work in currently on-going, with the likelihood of implementation in 2015/16.

5 Enforcement

- 5.1 A full review of the Enforcement Service was undertaken this year, covering: performance, communication with key stakeholders and future priority setting. See NPA/AG/13/027 for the outcomes which include:
- Adoption of the Enforcement Policy and
 - Adoption of the Local Enforcement Plan
 - Occupancy condition monitoring
- 5.2 The number of new actual enforcement cases received during the past quarter has dropped slightly, as has the number of cases resolved, resulting in a slight increase in the number of live cases. This has been predominantly due to two factors; the first being significant officer time spent on the enforcement service review. In addition, one or two complex cases, such as Huckworthy, have taken significant officer time to resolve without formal action. Over the whole year the total number of actual breaches of planning control has risen to 209 from 153. The number of cases outstanding at the end of the year has risen slightly to 162 from 156 at the end of 2012/13. The total percentage of cases resolved throughout the year without resorting to formal action remains high at 90% demonstrating the high level of commitment of the team to this difficult area of work.
- 5.3 Notable achievements in year include: the cessation of the unauthorised residential use of land by travellers at Marley Head, South Brent and the removal of unauthorised alterations and the successful repair of a Grade II listed building at 11 East Street, Ashburton.

- 5.4 As was reported at the last Audit and Governance meeting in February, the new Enforcement Policy and Local Enforcement Plan was formally adopted by the Authority at its meeting on 7 February 2014.
- 5.5 The occupancy condition Monitoring exercise has so far proved very successful with 28 letters sent to agricultural workers dwellings last year, we received 27 responses which resulted in two enforcement investigations, only one of which is ongoing in February this year, 101 letters were sent to properties with holiday occupancy conditions attached to which we have received a 90% response rate. Interestingly, of those that responded, about half of the permissions have not yet been implemented. The Authority has also received some positive feedback in the responses, applauding it for its efforts in ensuring compliance.
- 5.6 Work has now started on the next batch of letters to be sent to agricultural workers dwellings granted permission over ten years ago and also to dwellings that are restricted by legal agreement as affordable dwellings.

6 Forward Planning

- 6.1 A notable achievement this year was the Development Management and Delivery Plan document (DMD) being formally adopted by the Authority in July 2013. The Authority was the first National Park Authority to adopt a new development plan following the government's publication of the National Planning Policy Framework.
- 6.2 The masterplanning work at Chagford has progressed well and a plan was formally adopted by the Authority in April 2014, with local and Parish Council support. The Ashburton masterplan project has proved more complex given the multiplicity of landowners and their aspirations. Trying to marry these with the aspirations of the town has been challenging. The revised timescale for adoption, following a further iteration of the plan and public consultation, is December 2014. The relocation of Tuckers store in Ashburton has now been formally approved by the Development Management Committee. The relocation of Tuckers from Chuley Road will unlock their part of the site and assist in redevelopment options to be considered as part of the masterplan.
- 6.3 The Buckfastleigh masterplan site has not been progressed due to the position of the landowner but dialogue is continuing.

7 Affordable housing performance.

- 7.1 A significant application for affordable housing in Christow was approved this year for 18 new units. The scheme is the first in the National Park using the Passivhaus model for energy efficient homes, and is also a first involving a Community Land Trust. In addition 7 new dwellings were approved at Holne and this scheme is almost completed and ready for occupation.
- 7.2 The number of new affordable homes approved in the last year has not met the expected target of 30. Some of the sites which were anticipated to come forward did not because of the delay in adopting the DMD, as well as other factors of delay outside the control of the Authority, eg. delays in signing S106 legal agreements and delays in amending draft design briefs on larger schemes such as at Ashburton.

- 7.3 Notwithstanding the under delivery of affordable housing in the last year the outlook is much better. We are currently expecting a number of applications in this financial year on sites allocated in the new DMD. Sites at Ashburton, Chagford, South Brent, and Yelverton are expected which will more than meet the target set. Significant officer time has been spent in bringing forward design briefs at Ashburton, South Brent and Yelverton. To facilitate affordable housing delivery the policy and DM teams have worked effectively together. The Authority has now adopted these three design briefs.
- 7.4 To support the delivery of affordable housing the team developed a new Supplementary Planning Document (SPD) following consultation with stakeholders and Members of the Authority and partner authorities. This culminated in the SPD being adopted in April 2014
- 7.5 The policy team also confirmed the Authority's approach relating to Community Infrastructure Levy (CIL) to maintain a watching brief but not to progress its own CIL for the time being.

8 Other areas of work

8.1 Neighbourhood Planning

- 8.1.1 The recently agreed parish wide Ashburton Neighbourhood Plan Area now joins Buckfastleigh NPA as a designated Neighbourhood Plan Area for Dartmoor. The Communities Officer recently attended Buckland Monachorum PC AGM for a joint presentation with WDBC on neighbourhood planning.
- 8.1.2 We intend to develop a protocol on neighbourhood planning with our constituent district and borough councils to ensure a consistent approach and provide easy access to guidance for interested bodies.

8.2 Princetown

- 8.2.1 The pedestrian way marking was approved and installed in April. A planning permission was also granted for a new ramped access to the visitor centre. Further work has been undertaken regarding new signage for the visitor centre.
- 8.2.2 The 2nd edition of 'Princetown News' has now been published and delivered by letter box drop to all residents and businesses in Princetown. It provides an update on the new projects and works that are taking place in the village, such as Granite in Gears, the works to the visitor centre and new interpretation. An evening event will be held in the Visitor Centre on the 8th May, to discuss the projects and provide an opportunity to feed into their design and development. The event is targeted at businesses and the Parish Council but open to all.
- 8.2.3 Whilst works have taken place to the visitor centre internally, the planned external works have not been realised because of delays associated with the design process and in seeking the final agreement of the landowner. Work has not progressed on the shared vision for Princetown given the priorities associated with other work such as Broadband.

8.3 OFGEM Undergrounding and electricity lines

- 8.3.1 The NPA was successful in securing two undergrounding schemes for Dartmoor, on Holne Moor and Walkhampton Common. Between them, they remove nearly 6km of overhead line from open moorland.
- 8.3.2 Work on the Holne scheme started in November with the 1km or so of underground works now completed and the old overhead infrastructure to be dismantled soon. The trench also accommodates new South West Water telemetry cabling to improve monitoring and management at Venford.
- 8.3.3 At nearly 5km, the Walkhampton scheme is the largest to be undertaken in the South West by WPD and is seen as the flagship scheme. Works started in March and are mostly in-road. Identified in the early 1980's as a clear priority for Dartmoor, the removal of this length of line stretching across archaeologically rich, sweeping open moorland will achieve considerable landscape benefits, for which WPD and the DPA, instrumental in securing the allowance, are to be commended.

9 Rural Community Broadband Fund (RCBF) Bid

- 9.1 Following Dartmoor's successful stage 1 application to the RCBF officers continue to work with Connecting Devon and Somerset (CDS) to achieve a scheme for an area of Dartmoor defined as 'Hard to Reach'. In December the Department for Culture, Media and Sport (DCMS) advised that the RCBF was constrained by a maximum 50% public funding contribution and a scheme could not be delivered via this funding but, recognising the Dartmoor project demonstrated a good fit with government policy objectives, DCMS advised of possible alternative funding for a revised scheme. The allocation of this alternative funding was confirmed by DCMS in March and further survey work is now underway to finalise the scheme. It is expected that the scheme will enable over 500 'hard to reach' premises on Dartmoor to connect to Superfast Broadband.

10 Equality and Sustainability Impact

- 10.1 All staff continue to ensure that equality and sustainability are considered in all applications, enforcement and policy work. The DMD and all statutory and non-statutory documents are written with this duty in mind.

11 Financial implications

- 11.1 The Development Management budget is marginally underspent this year by £2,316 as a result of a combination of savings and additional planning fee income.
- 11.2 The Forward Planning budget is under spent by £28,357 as a result of work not proceeding on a number of projects. Some of this underspend has been allocated to earmarked reserves to offset expected additional costs in 2014/15.

STEPHEN BELLI

Attachments: Appendix 1 – Planning Performance Indicators

PLANNING - DNPA PERFORMANCE INDICATORS

Ref No.	How will we measure our achievement	Previous Years		Current Year				Outturn for 2013/14
		2011/12	2012/13	Quarter 1	Quarter2	Quarter3	Quarter4	
DM1	Applications:							
	Applications received:	695	629	178 (177)	174 (152)	160 (132)	190 (168)	702
	Applications determined:	621	628	167 (161)	189 (152)	168 (173)	176 (142)	700
	Applications outstanding:	144	126	135 (150)	116 (140)	112 (98)	121 (126)	121
	Average time taken (days)	63.25	74	67 (66)	59 (81)	61 (76)	68 (73)	64
DM2	Enforcement:							
	Alleged breaches:	323	251	79 (76)	60 (77)	70 (47)	66 (51)	274
	Identified breaches:	303	153	37 (62)	55 (39)	68 (25)	49 (27)	137
	Cases resolved:	323	245	77 (51)	59 (61)	75 (80)	57 (53)	268
	Cases outstanding:	161	156	159 (178)	156 (195)	150 (156)	162 (156)	164
DM3	Pre-applications:							
	Received:	911	817	187 (206)	271 (219)	240 (168)	241 (224)	939
	Out:	946	813	195 (199)	252 (228)	244 (180)	219 (206)	910
	Outstanding:	35	46	40 (51)	82 (51)	80 (24)	93 (46)	93
	Average time taken (days)	19.25	17.25	17 (16)	24 (18)	23 (17)	21 (18)	21

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

16 May 2014

REVIEW OF PUBLIC RIGHTS OF WAY

Report of the Director of Conservation and Communities

Recommendations : **That Members agree the terms of reference for the public rights of way review.**

1 Purpose of the report

1.1 At the meeting on 21 February Members resolved to undertake a review of the Authority's role in managing public rights of way. Three Members were appointed to the review panel to assist officers with this work (Mr Hitchins, Mr Sanders and Mr Shears). This report is to agree the proposed terms of reference for the forthcoming review. The Head of Recreation, Access and Estates will be the lead officer for this work supported by the Head Ranger and two Sector Rangers.

2 Terms of Reference for the Review

- 2.1 The following terms of reference have been drafted for the review. These will be discussed at the first meeting of the Working Group which is taking place on 12 May 2014. Any proposed changes can be reported to the meeting verbally.
- 2.2 The purpose of the Working Group is to complete a review of the function and delivery of the Authority's responsibilities for the management of public rights of way within the National Park.
- 2.3 The Working Group will specifically review the current approach to management of PROW and consider the following:
- The resources the Authority allocates to this area of work and how this compares with the funding we receive from Devon County Council;
 - The benefits to the Authority for continuing to have a Service Level Agreement (SLA) with Devon County Council to deliver this work;
 - The likely implications for the Authority if we do not continue with a SLA;
 - Explore alternative models for delivering this work and consider the cost/benefits of such approaches for the Authority, the National Park, local communities and users.
- 2.4 The Working group will provide recommendations to the Authority's Audit and Governance Committee with an update report to its August meeting. It is anticipated that this work will be completed by the autumn.

3 Equality and Sustainability Impact

3.1 There are no sustainability or equality issues to report.

4 Financial Implications

4.1 There are no budgetary implications of this work and it has been included in officers work programmes.

ALISON KOHLER

DARTMOOR NATIONAL PARK AUTHORITY
AUDIT AND GOVERNANCE COMMITTEE

16 May 2014

PLANNING USER SATISFACTION SURVEY RESULTS 2013/14

Report of the Director of Planning

Recommendation: **That Members consider and note the report and the findings of the latest user satisfaction survey.**

1 Introduction

1.1 As part of the Authority's performance monitoring framework a biennial planning user satisfaction survey is carried out. The last survey was carried out in 2011/12 and indicated a 90% satisfaction rate against the Authority's target of 80%. This report sets out the findings of the survey carried between October 2013 and March 2014 for Members consideration.

2 Survey results

2.1 Members are referred to the summary of the survey findings, see Appendix 1 to this report, together with a written summary of the main points extracted and quotes from respondents, attached at Appendix 2. Just over 300 questionnaire forms with a Freepost envelope were sent out to applicants who had received decisions in the period set out above. The sample size of response required to make the survey statistically accurate was at least 20%. A total of 61 responses have now been received. Those responses have now been analysed and the highlights can be summarised as follows:

- 72% of customers who asked for pre app advice were very or fairly satisfied
- 59% of customers said they would not be prepared to pay for advice
- 57% of customer responses were in relation to householder applications.
- 73% of customers were given advice and help in submitting their applications
- 62% of customers felt they were kept informed on progress
- 84% of customers felt they were treated fairly
- **89% of customers were very or fairly satisfied with the planning service**
- **95% of customers received an approval.**

By comparison the main survey results for 2011 were as follows

- The largest percentage of application types returns related to householder applications - 52%
- Most respondents were repeat applicants – 80%
- 76% of respondents agreed they were given advice and help to submit their application
- 72% agreed we kept applicants informed of progress

- 82% agreed they were dealt with fairly
- **90% of applicants were satisfied regardless of the outcome of the application**
- **94% of applicants received an approval**
- 30% of respondents considered the service had improved over the last 3 years with only 5% saying it had got worse
- 78% of respondents say they use the online planning service
- 45% stated they had submitted their application electronically
- 49% and 70% of applicants viewed the officers report or decision on line
- 95% of respondents stated they would use the on line services again

Question 11 sets out that generally customers considered that the service had either stayed the same or improved in some areas. Only a small percentage of customers felt that the service had worsened over the last three years.

Question 12 - The online planning service continues to be well used albeit there is some work to do in this area to ensure that the website remains up to date and is easy to use.

3 Conclusions

- 3.1 The overall customer satisfaction rate remains above the 80% target albeit there is a slight dip in the headline rate from 90% to 89%. There appears to be some work to do to ensure the web site remains an easy to use tool. In addition the importance of communication both at pre application stage and during the processing of applications is a key factor. The reluctance to pay for pre application advice is also interesting although not unsurprising. There are some minor procedural matters that can be considered as well as how we can better inform our customers on the route a decision takes and why.

4 Financial implications for the Authority

- 4.1 There are no financial implications arising out of this report. Any procedural changes that need to be put in place can be carried out in house. A further report on pre application charges will be presented to a future Audit and Governance Committee taking into account the comments received as part of this survey.

5 Equality and Sustainability Impact Assessment

- 5.1 No equality or sustainability issues have been highlighted as part of this survey. All planning staff are aware of the Authority's duty and responsibilities when dealing with those with differing needs whether they are applicants or neighbours. Ad hoc arrangements can be made to accommodate those needs as and when they arise.

STEPHEN BELLI

Background Papers: User satisfaction survey results 2013/14

Attachments: Appendix 1 - Survey summary
Appendix 2 - Summary of main points and quotes

DNPA Planning User Satisfaction Survey



1. Please enter the reference number of your most recent application (shown on your letter), e.g. 0123/45

**Response
Count**

61

answered question

61

skipped question

0

2. When you made your most recent application, in what capacity were you acting?

**Response
Percent Response
Count**

As a private individual



47.5%

29

As part of your own business



13.1%

8

On behalf of your employer



8.2%

5

**As an agent acting on behalf of
another party**



31.1%

19

Other (please specify)

3

answered question

61



skipped question

0




3. Did you seek pre-application advice? If so please rate your experience

		Response Percent	Response Count
Very satisfied		56.5%	26
Fairly satisfied		15.2%	7
neither satisfied nor dissatisfied		17.4%	8
Fairly dissatisfied		4.3%	2
very dissatisfied		6.5%	3
	If you were dissatisfied please state why		8
	answered question		46
	skipped question		15



4. Would you be willing to pay for this service in the future rather than see it curtailed?

		Response Percent	Response Count
Yes		40.7%	22
No		59.3%	32
	answered question		54
	skipped question		7

5. What type of application were you submitting?

		Response Percent	Response Count
Householder		57.4%	35
Listed Building or Conservation Area Consent		14.8%	9
Residential Development		0.0%	0
Business or Industry Development (Including Minerals and Waste Developments)		27.9%	17
	Other (please specify)		14
		answered question	61
		skipped question	0

6. Have you applied to Dartmoor National Park Authority for planning permission/consent prior to your most recent application?

		Response Percent	Response Count
Yes		71.7%	43
No		30.0%	18
Do not recall		0.0%	0
		answered question	60
		skipped question	1


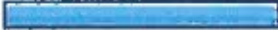



7. Please indicate how many times in the last 3 years you have applied to Dartmoor National Park Authority for planning permission/consent:

		Response Percent	Response Count
1-5		60.8%	31
6-10		11.8%	6
11-20		7.8%	4
21+		2.0%	1
It does not apply/don't know		17.6%	9
answered question			51
skipped question			10



8. Please indicate whether you agree or disagree with each of the following statements about your experience of the Authority's handling of your application(s) in the last year.

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	It does not apply/don't know	Rating Count
I was given the advice and help I needed to submit my application correctly	26.2% (16)	47.5% (29)	11.5% (7)	3.3% (2)	3.3% (2)	8.2% (5)	61
The Authority kept me informed about the progress of my application	16.7% (10)	45.0% (27)	23.3% (14)	13.3% (8)	0.0% (0)	1.7% (1)	60
The Authority dealt promptly with my queries	25.0% (15)	46.7% (28)	15.0% (9)	10.0% (6)	1.7% (1)	1.7% (1)	60
I understand the reason for the decision made on my application(s)	33.3% (20)	56.7% (34)	6.7% (4)	0.0% (0)	1.7% (1)	1.7% (1)	60
I felt that I was treated fairly and that my viewpoint was listened to	29.5% (18)	54.1% (33)	9.8% (6)	1.6% (1)	3.3% (2)	1.6% (1)	61
answered question							61
skipped question							0

9. Setting aside whether any individual application was successful or not, how satisfied or dissatisfied are you with the service provided by the National Park Authority in processing your application?

		Response Percent	Response Count
Very satisfied		42.6%	26
Fairly satisfied		45.9%	28
Neither satisfied nor dissatisfied		4.9%	3
Fairly dissatisfied		4.9%	3
Very dissatisfied		1.6%	1
answered question			61
skipped question			0

10. Was your most recent application:

		Response Percent	Response Count
Granted permission/consent		95.1%	58
Refused permission/consent		4.9%	3
answered question			61
skipped question			0

11. For each of the following elements of the planning service provided by Dartmoor National Park Authority please indicate whether you think the service has got better or worse over the last three years, or has it stayed the same?

	Better	Stayed the same	Worse	Don't know	Rating Count
The advice and help provided to submit my application	17.6% (9)	43.1% (22)	9.8% (5)	29.4% (15)	51
The information provided about the progress of my application	12.0% (6)	56.0% (28)	4.0% (2)	28.0% (14)	50
The promptness with which queries about my application were dealt with	26.0% (13)	42.0% (21)	6.0% (3)	26.0% (13)	50
The clarity of the reasons for the decision given	11.8% (6)	58.8% (30)	3.9% (2)	25.5% (13)	51
The fairness with which my application was dealt with and viewpoint listened to	11.8% (6)	56.9% (29)	3.9% (2)	27.5% (14)	51
				answered question	51
				skipped question	10

12. Please indicate whether you agree or disagree with each of the following statements about the Authority's online planning service.

	Strongly agree	Agree	Niether agree nor disagree	Disagree	Strongly disagree	It does not apply/don't know	Rating Count
It was well publicised that these service were available online	21.4% (12)	48.2% (27)	14.3% (8)	3.6% (2)	0.0% (0)	12.5% (7)	56
I found the information I was looking for easily	12.3% (7)	56.1% (32)	14.0% (8)	7.0% (4)	1.8% (1)	8.8% (5)	57
There was adequate information on how to use the services	10.5% (6)	54.4% (31)	12.3% (7)	8.8% (5)	1.8% (1)	12.3% (7)	57
Documents downloaded easily	15.8% (9)	54.4% (31)	15.8% (9)	0.0% (0)	1.8% (1)	12.3% (7)	57
I would use the online services again	25.0% (14)	53.6% (30)	10.7% (6)	1.8% (1)	0.0% (0)	8.9% (5)	56
						answered question	57
						skipped question	4



13. Do you have any further comments or suggestions regarding our online services?

	Response Count
	19
answered question	19
skipped question	42

14. Is there anything else you would like to add?

	Response Count
	24
answered question	24
skipped question	37






15. Are you male or female?

		Response Percent	Response Count
Male		73.2%	41
Female		26.8%	15
answered question			56
skipped question			5



16. What was your age on your last birthday?

	Response Count
	50
answered question	50
skipped question	11


17. Which of these activities best describes what you are doing at present?

		Response Percent	Response Count
Employee in full-time job		34.6%	18
Employee In part-time job		5.8%	3
Self employed full or part-time		42.3%	22
Full time education		0.0%	0
Unemployed and available for work		0.0%	0
Permanently sick/disabled		0.0%	0
Retired		17.3%	9
Looking after the home		1.9%	1
	Other (please specify)		1
answered question			52
skipped question			9




18. Do you have any long-standing illness, disability or infirmity?

		Response Percent	Response Count
Yes		9.1%	5
No		90.9%	50
answered question			55
skipped question			6

19. Does this illness or disability limit your activities in any way?

		Response Percent	Response Count
Yes		10.0%	2
No		90.0%	18
answered question			20
skipped question			41

20. To which of these groups do you consider you belong?

		Response Percent	Response Count
White British		96.4%	54
White Irish		0.0%	0
White other background		1.8%	1
Black or Black British (Caribbean)		0.0%	0
Black or Black British (African)		0.0%	0
Asian - Indian		0.0%	0
Asian - Pakistani		0.0%	0
Asian - Bangladeshi		0.0%	0
Asian - other background		0.0%	0
Mixed - White & Black Caribbean		0.0%	0
Mixed - White & Black African		0.0%	0
Mixed - other mixed background		1.8%	1
Chinese		0.0%	0
Other ethnic group (please specify)			1
answered question			56
skipped question			5

Planner User Satisfaction Survey – 2013/14

Positive Comments

- It would be nice to sort planning app view when searching the database but generally a good on line service
- Initial difficulty in navigating on line but staff were very helpful
- Last dealt with DNPA 11 years ago – service has improved considerably since then.
- Good on line service with the limited budget you have.
- Planning officers were professional and really helpful
- Administration staffs were helpful
- Timeliness of response was really valued
- Thank you for protecting Dartmoor and your advice
- Pre app service was excellent and much appreciated
- Advice session recently at the hill farm project was really useful.
- Generally an excellent service with friendly approachable staff

Negative Comments

- Confusion on what type of form to use
- Some difficulty in paying by cheque online
- When drawings are converted online the scale and drawings can become distorted
- Signposting of which form to use was not clear
- Decision notices could be available more quickly on line
- Validation requirements are different between authorities leading to confusion
- Specialist staff sometimes delayed processing of applications
- Web site needs to be updated more frequently
- Information on line is very helpful but it should not replace the human voice
- Telephone queries should be allowed as it is frustrating to have to wait for a written response
- Navigating the planning system for non-professionals can be difficult
- Would pay for pre app advice if this guaranteed a better service – please keep pre app system free as it saves time and money in the long run
- Getting a meeting at pre app stage can be difficult
- Admin errors do still occur
- Ask before pinning site notices to front door!
- Some confusion and uncertainty regarding how the decision process works.

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

16 MAY 2014

2013/14 ANNUAL GOVERNANCE STATEMENTReport of the Head of Resources

Recommendation : **That Members:**

- (i) note the content of the report; and**
- (ii) recommend that the Authority approve the 2013/14 Annual Governance Statement**

1 Introduction

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

2 2013/14 Annual Governance Review

- 2.1 Production and publication of an Annual Governance Statement (AGS) are the final stages of an on-going review of governance and not an activity which can be planned and viewed in isolation. Compilation of an AGS involves the whole Authority:
 - Reviewing the adequacy of its governance arrangements
 - Knowing where it needs to improve those arrangements, and
 - Communicating to users and stakeholders how better governance leads to better quality public services
- 2.2 During 2013/14 the review of the effectiveness of the governance arrangements has been informed by:

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

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

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

2.4 The draft Annual Governance Statement for Dartmoor National Park Authority for 2013/14 is attached at Appendix 1. Members are invited to comment on the content of the statement which will be taken to Authority for approval in June.

2.5 It is recommended that the action plan for improvements contained in the Annual Governance Statement is implemented and/or continued in 2014/15 and that an on-going review of governance arrangements is continued during the forthcoming financial year, in order to provide reasonable assurance of the effectiveness of the governance framework and ensure compliance with the Local Code of Corporate Governance.

3 Equality and Sustainability Impact

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

4 Financial Implications

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

5 Conclusion

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

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

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

DONNA HEALY

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

Attachments: Appendix 1 – Annual Governance Statement 2012/13

20140516 DL AGS

ANNUAL GOVERNANCE STATEMENT

2013/14

SCOPE OF RESPONSIBILITY

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

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

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

THE PURPOSE OF THE GOVERNANCE FRAMEWORK

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

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

The governance framework has been in place at DNPA for the year ended 31 March 2014 and up to the date of approval of the Business Plan and Statement of Accounts. The framework has been further supported by the Local Code of Corporate Governance, since its adoption in December 2009.

THE GOVERNANCE FRAMEWORK & LOCAL CODE OF CORPORATE GOVERNANCE

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

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

- The vision, objectives and priorities for the local area (Dartmoor) for the period 2014 - 2019 as set out in "Your Dartmoor", the National Park Management Plan (NPMP) and the predecessor plan which covered the period 2007 - 2013. The new plan "Your Dartmoor" was developed via a process of extensive community involvement.
- The Business Plan for the Authority is a strategic document which provides a link between the National Park Management Plan, the Directorate Plans and individual appraisals. The Business Plan, including priorities and targets is reviewed annually and a separate annual review is produced in June to report on performance and highlight key projects undertaken in - year.
- The Authority's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer (CFO) in Local Government (2010) as set out in the Application Note to "Delivering Good Governance in Local Government". The CFO is the County Treasurer of Devon County Council whose services are retained through a Service Level Agreement. This arrangement which requires some delegation to the Head of Resources is set out in Financial Regulations.
- The principles of decision making are set out in the Authority's Standing Orders, supported by:
 1. Financial Regulations, a Disposals Policy, a Sustainable Procurement Policy and Procurement Procedures;
 2. The Authority's adopted codes of practice in relation to treasury management for investments and for capital finance and accounting (the Prudential Code)
 3. Scheme of Delegation
 4. Code of Conduct for Members and Officers
 5. Job descriptions for Members and Officers
 6. Policies and Procedures

- Public involvement and transparency in decision making is facilitated through formal consultations, workshops, involvement in service reviews, consultative forums with members of the community representing access, land use, conservation, businesses and community interests and public participation at the Authority and its Committees
- Ensuring that established policies, procedures, laws and regulations are complied with is the responsibility of nominated statutory Officers, the Monitoring Officer and the Chief Financial Officer as laid down in the Authority's Standing Orders & Financial regulations
- A Risk Management Strategy that defines and identifies the process for ongoing risk management and the responsibilities of the various stakeholders in the risk management process
- A Corporate Strategic Risk Register which is reviewed by the Audit & Governance Committee on a quarterly basis & approved by the Authority annually. Operational Risks are identified and recorded in Directorate Plans, signed off by the Leadership Team and monitored on a quarterly basis
- 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 is reported to the Audit and Governance Committee on a quarterly basis, and is reviewed monthly by the Leadership Team
- Performance management is applied consistently throughout the Authority against a Performance Management framework. Reports of progress against performance targets and implementation of Authority decisions is reported quarterly to Audit & Governance Committee
- Performance against Corporate processes and outcome targets is further assessed through the National Park Authority Performance Assessment (NPAPA) process on a 5 yearly cycle. DNPA was assessed in February 2011
- Standards sub-Committee monitors the ethical framework for the Authority and will alert the Authority to any potential issues arising from its decision making processes.

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

REVIEW OF EFFECTIVENESS

Dartmoor National Park Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of the effectiveness of the system is informed by the work of the Leadership Team and other Officers within the authority who have responsibility for the development and

maintenance of the governance environment, the Head of Internal Audit's (Devon Audit Partnership) annual report and also by responding to comments and recommendations made by external auditors and other review agencies and inspectorates.

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

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

Significant improvements have been undertaken during 2013/14 as follows:

- Adopted and launched the new National Park Management Plan (NPMP) 2014 – 2019
- Revised and refined the 2014/15 Business Plan into a strategic document which is closely linked to the NPMP, the structure of which mirrors the themes in the NPMP
- Revised the Performance Monitoring Framework and performance indicators to reflect the NPMP and Business Plan priorities, to improve internal service performance reporting and to aid further comparison and benchmarking with other NPAs
- Carried out a survey of residents living in the National Park to measure the current understanding and perceptions of Dartmoor National Park Authority; with the aim of using the outcome to inform actions to help local communities understand the role of the Authority and recognise the work we are doing in pursuit of the statutory purposes and duty
- Adopted the Development Management and Delivery Development Plan Document (DMD)
- Adopted a framework for Planning Performance Agreements to support applications for planning approval in respect of major developments
- Reviewed the Infrastructure Delivery Plan as part of the programme of annual monitoring
- Considered a report on Community Infrastructure Levy (CIL) making a decision not to proceed, but to keep a watching brief
- Completed a review of the Enforcement Service, implementing a series of improvements, culminating in the adoption of an Enforcement Policy and Local Enforcement Plan
- Implemented the changes resulting from Defra's review of Governance arrangements in National Park Authorities, which commence in 2014/15
- Introduced the Competency Framework (second phase) for staff at grade 4 and above
- Rolled out Project Management Training across the Authority
- Consolidated information on land ownership and assets into an electronic database making this and our records held on contracts agreements and S106 planning obligations available on the Idox information Management System
- Adopted a new Data Protection Charter, Policy Statement and guidance and delivered training to all staff
- Implemented the re-branding proposals for the National Park Visitor Centres and commenced a major refurbishment scheme at Princetown

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 2014:

- Undertake a Value for Money Review of the Service Level Agreement the Authority has with Devon County Council for maintaining Public Rights of Way
- Develop and implement a Communications Strategy, with a particular focus on external communications and community engagement
- Undertake a staffing and structure review to seek further reductions in the Authority's salary budget, reflecting the future uncertainty in the level of National Park Grant funding received from Defra
- Adopt an Affordable Housing Supplementary Planning Document (SPD) in order to guide Local Plan Policies
- Approve the Local Development Scheme – a timetable for the Development Plan preparation and review
- Review the Statement of Community Involvement – which sets out how we engage with stakeholders on Plan preparation

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: **Signed:**.....

Chairman of the Authority

K D Bishop
Chief Executive (National Park Officer)

Date: **Date:**

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

16 May 2014

LOCAL CODE OF CORPORATE GOVERNANCEReport of the Head of ResourcesRecommendation : **That Members:**

- (i) note the content of the report;**
- (ii) recommend the revised Local Code of Corporate Governance, attached at Appendix 1, to the Authority for approval.**

1 Background

- 1.1 Every local government body operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes from the services provided.
- 1.2 In 2001, CIPFA (the Chartered Institute of Public Finance and Accountancy) and SOLACE (the Society of Local Authority Chief Executives and Senior Managers) drew together a range of governance issues into a single framework of good governance. Since the framework was published, local government has been subject to continued reform intended to improve local accountability and engagement. As a consequence CIPFA/SOLACE produced a revised framework "Delivering Good Governance in Local Government" published in 2007. The Framework applies to all local authority bodies including National Park Authorities.
- 1.3 The Framework defines the principles that should underpin the governance of each local government body and provides a structure to help individual authorities with their own approach to governance. The six core principles are:
 - 1 Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
 - 2 Members and officers working together to achieve a common purpose with clearly defined functions and roles
 - 3 Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour
 - 4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
 - 5 Developing the capacity and capability of Members and officers to be effective
 - 6 Engaging with local people and other stakeholders to ensure robust accountability

2 Local Code of Corporate Governance

- 2.1 The Authority adopted a Local Code of Corporate Governance in December 2009 (NPA/09/051). This document has been kept under continuous review by officers since then, which has not resulted in the need for any major changes.
- 2.2 The Authority has experienced significant change in more recent years which includes:
- A major organisational restructure
 - A review of National Park Authority Governance arrangements carried out by Defra
 - Adopting a new National Park Management Plan – “Your Dartmoor” for the period 2014 to 2019
 - Refining our Business Plan and adopting a variety of other strategic documents
- 2.3 The Authority’s Financial Regulations, Scheme of Delegation and Standing Orders have also been regularly reviewed and amended where required to reflect changes in staff and operating procedures. It is therefore considered appropriate to formally present the Local Code of Corporate Governance for review by the Committee that developed it in 2009.
- 2.4 A revised Local Code of Corporate Governance is attached at Appendix 1 for Members to now consider and offer comments and/or amendments, prior to it being presented to the Authority for approval in June.

3 Equality and Sustainability Impact

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

4 Financial Implications

- 4.1 There are no significant implications arising specifically from the review of the Local Code of Corporate Governance.

DONNA HEALY

Background Papers: NPA/09/051; NPA/AG/09/023



DARTMOOR NATIONAL PARK AUTHORITY
LOCAL CODE OF CORPORATE GOVERNANCE

Adopted: December 2009
Reviewed: April 2014

Introduction

Every local government body operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes from the services provided.

In 2001, CIPFA (the Chartered Institute of Public Finance and Accountancy) and SOLACE (the Society of Local Authority Chief Executives and Senior Managers) drew together a range of governance issues into a single framework of good governance. Since the framework was published, local government has been subject to continued reform intended to improve local accountability and engagement and CIPFA/SOLACE have therefore produced a revised framework "Delivering Good Governance in Local Government" published in 2007. The Framework applies to all local authority bodies including National Park Authorities.

The Framework defines the principles that should underpin the governance of each local government body and provides a structure to help individual authorities with their own approach to governance. The six core principles are:

1. Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
2. Members and officers working together to achieve a common purpose with clearly defined functions and roles
3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour
4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
5. Developing the capacity and capability of Members and officers to be effective
6. Engaging with local people and other stakeholders to ensure robust accountability

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.

CORPORATE GOVERNANCE POLICY

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

Core Principle: Focus on the Purpose of the Authority and on outcomes for the community and creating and implementing a vision for the area

The local code requires us to:	Evidenced by:
<p>Exercise strategic leadership by:</p> <p>(a) developing and clearly communicating the Authority's purpose, vision and intended outcomes for residents, visitors and other service users; and</p> <p>(b) facilitating an agreed vision for the management of the National Park</p>	<ul style="list-style-type: none"> ● 'Your Dartmoor' – the Dartmoor National Park Management Plan (DNPMP) 2014-2019 ● A 'Your Dartmoor' website: www.yourdartmoor.org ● Three DNPMP Steering Groups: 1 for each stream of the Management Plan ● A Monitoring Framework agreed with delivery partners ● Revised DNPA Business Plan with a clear statement of objectives and priorities, linked to the DNPMP, Directorate Plans, Team work plans / individual staff appraisals ● An adopted Local Development Scheme to include an up to date Local Plan and other planning related documents
<p>Ensure users experience a high quality of service, whether directly, in partnership or through contracts and/or service level agreements</p>	<ul style="list-style-type: none"> ● State of the Park Report ● Annual Performance Review ● Quarterly performance reports to Audit & Governance Committee ● Service Reviews ● Partnership reviews ● National Park Authority performance indicators for benchmarking across all National Park Authorities ● Complaints ● Customer & Residents surveys ● Partnership assessment framework
<p>Ensure that the Authority makes best use of resources and provides value for money</p>	<ul style="list-style-type: none"> ● Annual Use of Resources Assessment undertaken by External Audit ● Medium term financial plan ● Directorate / Service plans ● Annual budget and quarterly financial management monitoring reports ● Annual Statement of Accounts ● Audit reports (Internal & External Audit) ● Anti-Fraud and Corruption strategy ● Sustainability checklists ● Sustainable Procurement Policy & Procedures

Core Principle: Members and Officers work together to achieve a common purpose with clearly defined functions and roles

The local code requires us to:	Evidenced by:
Ensure effective leadership throughout the Authority with clear roles for Committees and sub-committees	<ul style="list-style-type: none"> • Standing Orders • Scheme of delegation • Member champions with clear role purpose • Terms of reference for Member/Officer working groups
Ensure there is a constructive working relationship between Members and Officers and that their respective responsibilities are carried out to a high standard	<ul style="list-style-type: none"> • Member/Officer protocol • Job descriptions and appraisal process for Officers and Members • Staff Competency Framework (via appraisals) • HR Strategy • Job description for Chairman of the Authority • Complaints • Ombudsman Reports • Statutory officers in post or contracted out (where appropriate)
Ensure the relationship between the Authority and the public is clear so each knows what to expect of the other	<ul style="list-style-type: none"> • Authority/Committee procedures • Member allowance scheme • Public Participation at meetings of the Authority, its committees and sub-committees • Consultations • Governance arrangements in partnerships, including legal status

Core Principle: Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

The local code requires us to:	Evidenced by:
Ensure officers and Members exercise high standards of conduct and effective governance	<ul style="list-style-type: none"> • Code of Conduct for Members • Register of Interests • Declaration of Gifts and Hospitality • Anti-fraud and Corruption policy • Annual report of Standards Committee • Whistleblowing policy – Confidential Reporting
Ensure that organisational values are put into practice and are effective	<ul style="list-style-type: none"> • HR Strategy • Equalities policies • Sustainability Action plan • Member and officer appraisals and supporting Personal Development Plans (PDPs) • Staff Competency Framework (via appraisals)

Core Principle: Taking informed and transparent decisions which are subject to scrutiny and effectively manage risk

The local code requires us to:	Evidenced by:
Be rigorous and transparent about how decisions are taken	<ul style="list-style-type: none"> ● Publication of reports & minutes for Authority and its Committees and sub-committees ● Freedom of Information (FOI) Publication scheme ● Case recording and availability for public scrutiny ● Scheme of Delegation ● Financial Regulations ● Sustainable Procurement Policy and procedures ● Complaints procedure
Have good quality information, advice and support to ensure that services are delivered effectively and are informed by what the residents/service users and other stakeholders want	<ul style="list-style-type: none"> ● Surveys ● Consultation forums: <ul style="list-style-type: none"> - National Park Forum - Dartmoor Farmers' Forum - Dartmoor Access Forum - Workshops for Parish Council members ● Service reviews ● Focus groups
Ensure that an effective risk management system is in place	<ul style="list-style-type: none"> ● Risk Management Strategy ● Strategic Risk Register ● Risk register reviews reported to A&G Committee ● Risk assessment part of Service plans ● Whistle-blowing policy – Confidential Reporting
Use our legal powers to the full benefit of the communities within the National Park and for the protection of the National Park itself	<ul style="list-style-type: none"> ● S62 monitoring

Core Principle: Developing the capacity and capability of members and officers to be effective

The local code requires us to:	Evidenced by:
Making sure that Members and officers have the skills, knowledge, experience and resources they need to perform well in their roles	<ul style="list-style-type: none"> • Induction events – local and National • Learning & Development Partnership with District Councils (including e-Academy) • Targeted training events • Staff Competency Framework (via appraisals)
Develop the capability of people with governance responsibilities and evaluate their performance, as individuals and as a group	<ul style="list-style-type: none"> • Management development • Appraisals for officers and Members • Staff Competency Framework (via appraisals)
Encourage new talent for Membership of the Authority so that best use can be made of individuals' skills and resources	<ul style="list-style-type: none"> • PR/press releases • Parish workshops

Core Principle: Engaging with local people and other stakeholders to ensure robust accountability

The local code requires us to:	Evidenced by:
Exercise leadership through engaging with local people and stakeholders, including partners, and develop constructive accountability relationships	<ul style="list-style-type: none"> • Joint action plan with Natural England • Local Area Agreement (LAA) • Management Plan delivery mechanism and responsibilities • S62 monitoring • Parish workshops
Take an active and planned approach to dialogue with and accountability to the public to ensure appropriate service delivery whether provided directly by the Authority, in partnership, or through contracts and/or service level agreements	<ul style="list-style-type: none"> • 'Your Dartmoor' Dartmoor National park Management Plan 2014-2019 • Statement of Community Involvement (LDF) • Business Plan • Annual Performance review
Make best use of human resources by taking an active and planned approach to meet responsibility to staff	<ul style="list-style-type: none"> • HR Strategy • Management development programme • Corporate training events • Learning & development Partnership • Staff survey • Joint Staff Forum (JCC) • Staff focus group • All staff training day • Employee Assistance Programme • Occupational Health

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

16 May 2014

RISK MANAGEMENT AND THE 2014/15 STRATEGIC RISK REGISTERReport of the Head of ResourcesRecommendation: **That Members:**

- (i) **note the content of the report;**
- (ii) **approve the Strategic Risk Register for 2014/15 attached at Appendix 1 subject to any amendments Members may suggest**

1 Background

- 1.1 This Committee approved the current Risk Management Policy at its meeting on 17 May 2014 after commissioning the Devon Audit Partnership to undertake a thorough review of Risk Management across the organisation (NPA/AG/13/013). A good standard was achieved and no significant matters were identified
- 1.2 The risk management strategy for the Authority entails four major components.
 - Risk Management Policy
 - Roles and Responsibilities of officers and Members
 - Strategic Risk Register
 - Embedded risk management within services
- 1.3 It is commonly perceived that risk management is about producing risk registers and can be seen as bureaucratic. The formal recording of risk management information is clearly important, but equally important are the discussions and dialogues that take place about risks across all areas – from the individual to the organisational.

2. Monitoring and Reporting Framework

- 2.1 As part of the risk management strategy it is important that Members review the strategic risks for the Authority in order to raise issues for further consideration and highlight possible areas of risk for addition or deletion. This work has been carried out by this committee on a quarterly basis in recent years.
- 2.2 A report was presented to this Committee on 21 February 2014 (NPA/AG/014/036) which reviewed the existing Performance Monitoring Framework. It was recognised that the Authority has maintained a robust and comprehensive performance management framework over a number of years, achieving very good outcomes, despite the pressure on resources and capacity. Recommendations were made and accepted by this Committee to reduce the reporting requirement going forward. This means that the Strategic Risk Register would be only considered in its entirety, by this Committee, on an annual basis (normally in February – for the forthcoming financial year) as part of the wider business plan cycle. However, Leadership Team would continue to monitor it quarterly and would report to this Committee by exception.

3 2014/15 Strategic Risk Register

3.1 It is probably useful to remind Members about the format, the scoring and colour coding within the Register at this point:

- Strategic Risks are identified, assessed and recorded (by staff, managers, Leadership Team and Members)
- The consequences of not taking any action to manage / mitigate those risks is assessed
- Current control measures that are in place to manage risk is recorded and the Risk is scored – which gives a “Current Residual Risk Rating”
- An assessment is made of additional control measures that can be implemented, along with any resources that might be required
- The Risk is then re-evaluated and re-scored to demonstrate the anticipated “Planned Residual Risk Rating” i.e. if the additional control measures are implemented

3.2 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

3.3 A thorough review of the current risks facing the Authority has been undertaken by Leadership Team, and a revised Strategic Risk Register is attached at Appendix 1. The control measures, both current and planned have been update for all of the Risks listed, but the following have received more significant amendments:

- P6 – Failure to determine major planning applications within Government target of 13 weeks – current Residual Risk Rating increased
- S3 and S4 – Managing Officer workload & stress / reduced capacity – identified as a cause for concern (given financial constraints which have necessitated reduced staff levels) [see F1 below] and remaining in the middle ‘band’ of risks requiring close attention. There is some overlap here and consideration could be given to merging
- F1 – Potential for reduction in National Park Grant (NPG) in 2014/15 and beyond – significant risk due to a notification from Defra regarding a potential in-year cut to NPG of 1.9%
- F2 – Inadequate Financial Management – reduced the risk rating scores, reflecting strong, robust financial management procedures and performance in place
- F4 – Heritage Lottery Fund Landscape Partnership application/programme – re-written and new scores to reflect recent events

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

DONNA HEALY

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

Attachments: Appendix 1 – 2014/15 Strategic Risk Register

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P1	Ineffective internal communication				
	<p>Consequence if no action</p> <p>Lack of understanding of objectives, targets, priorities, issues and challenges</p>	<p>Leadership Team meets fortnightly & key messages are reported in regular 'In Touch' newsletter, supplemented by specific newsletters as required. Monday Message has been introduced as a regular communication tool from Chief Executive to all staff and Members</p> <p>"Golden thread" linking Management Plan, Business plan and Directorate plans with individual appraisals. Annual all staff training day.</p> <p>Regular all staff meetings and service team meetings</p> <p>Intranet & website</p> <p>Regular briefings to Members and two officer/Member working panels</p>	2	4	8
Additional control measures planned					
Communication methods constantly reviewed and mixture of written and face to face utilised. NPAPA assessment emphasised the need to "close the loop" and provide feedback on decisions taken and why. Leadership Team will keep a focus on this issue.					
Resources required: Staff & Member time is needed to participate fully					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
<ul style="list-style-type: none"> ● Promote full understanding and ownership of the Authority's work, priorities and change agenda ● Develop a better understanding of the Authority and its work ● 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 2014/15

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P2	Inadequate external communication and community engagement				
	<p>Consequence if no action</p> <p>Damage to reputation. Poor support from community, business & stakeholders Lack of understanding of purposes/duties of DNPA Confusion with other organisations Projects poorly understood</p>	<p>Media briefings & releases. Authority publications. Authority Website Variety of forums System for recording media contacts/coverage in place E-newsletter, <i>Moor News</i> DNPA Twitter account</p>	3	3	9
Additional control measures planned					
<p>Communications & Community engagement are priorities for the Authority. NPAPA assessment recommended utilisation of multiple media avenues to reach maximum audience. This is being implemented. Residents' survey undertaken in 2013 and outcomes will be used to improve communication with local communities Increased presence at Parish meetings and local special interest groups. Interim Manager appointed to focus on communications and Visitor Services – key task will be to develop a proactive Communications Strategy for the Authority that looks at communication as a two way process (i.e. links with engagement)</p>					
Resources required: Staff time will be needed to communicate and engage with local residents and prepare materials					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<ul style="list-style-type: none"> • Promote understanding and enjoyment of Dartmoor's special qualities • Develop a better understanding of the Authority and its work • Ensure staff are able to contribute and feel valued • Improved community engagement and understanding of the role and work of the Authority 					

Red = Cause for Concern – scores 20-25

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P3	Inadequate Information Management and Information Technology System failure. Inadequate Business Continuity Planning.				
	Consequence if no action Non compliance with legislation. Inability to provide core services. Loss of reputation. Impact on service delivery. Breakdown of communication. Delays/failure to update records.	ICT software and data backed up and stored off-site. DMS implementation. Disaster Recovery Plan in place. Alternate venues/home working available in the event of loss of office accommodation	2	3	6
Additional control measures planned					
Disaster recovery plan revised following implementation of server virtualization IDOX project to scan central filing system has been introduced and will improve access and reduce risk of loss of data					
Resources required					
Head of ICT					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	2	4
Outcome					
<ul style="list-style-type: none"> Continuous business efficiency in the event of systems failure or major emergency affecting operational buildings 					

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Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P4	Inadequate focus on Performance Management				
	<p>Consequence if no action</p> <p>Individual and organisational performance not monitored. Low achieving Authority Unclear targets and objectives. Resources not targeted</p>	<p>Business Plan & Annual Review Directorate/Service planning VfM Reviews (focus on Public Rights of Way Service Level Agreement in 2014/15) Audit & Governance Committee established with clear remit to monitor and challenge performance. New suite of PIs being introduced to provide greater range of PIs and renewed focus on delivering against the Business Plan</p>	2	3	6
Additional control measures planned					
PIs to be kept under review and adjusted where necessary Further benchmarking to be undertaken LT to focus formally on performance on a quarterly basis					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<ul style="list-style-type: none"> Good performing organisation, with evidence of continuous improvement 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P5	Lack of support and resources from partners and stakeholders to deliver on the actions in the Management Plan				
	Consequence if no action Management Plan actions not undertaken Ambitions not delivered	Extensive engagement with partners and stakeholders in development of the revised NPMP Pre-consultation to ensure partners are agreeable with actions and nominated lead organisation Revised Delivery Board	3	4	12
Additional control measures planned					
Actions plans will be reviewed and revised annually to take into consideration changes circumstances/resources Progress will be monitored via a system of steering groups for each theme (with a wide membership) and an overarching Delivery Board comprising key stakeholders engaged in project delivery.					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
<ul style="list-style-type: none"> • Clear agreed vision for the National Park • Actions to achieve the Vision shared and owned by delivery partners • Clear process for monitoring delivery and assessing progress towards the Vision 					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : PERFORMANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
P6	Failure to determine major planning applications within the set Government target of 13 weeks				
	<p>Consequence if no action</p> <p>Authorities who 'poorly' perform over a 2 year period may be subject to special measures. The risk is therefore that the Authority could lose its ability to deal with applications resulting in a loss of income and reputation</p>	<p>Planning Performance Agreements (PPA) are in place which are a 'contract' between the planning authority and the developer in how their application will be dealt with including timescales. All such applications which are subject to a PPA do not have to be identified under the government speed targets and can be reported separately.</p> <p>Current government consultation on reducing the thresholds regarding the number of major applications and the % to be determined in the statutory period may impact further in this risk area. Outcome of consultation will be known later in the spring/early summer 2014</p>	3	4	12
Additional control measures planned					
Monitoring of the effectiveness of this control mechanism					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<ul style="list-style-type: none"> Major applications are dealt with in a timely way The performance agreement will allow time to be taken to achieve a quality outcome 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S1	Failure to implement a robust culture of risk assessment and risk management.				
	<p>Consequence if no action</p> <p>Disruption to service delivery. Waste of financial resources as number and cost of losses escalate. Increasing cost or unavailability of insurance cover. Critical reports by external audit. Increase likelihood of major loss/incident. Loss of reputation.</p>	<p>Risk Management Strategy Risks monitored by A&G Committee. Corporate Risk Management Steering Group (Leadership Team). Operational Risk Management via Directorate Plans Risk based audit (internal and external). Annual Governance Statement, following review of all governance arrangements.</p>	2	3	6
Additional control measures planned					
Service Level Agreement with Teignbridge DC continued into 2014/15 to support provision of robust health and safety risk assessment process and culture and health and safety management advice at an operational level. Risk assessment training provided regularly to relevant officers and further training available via Partnership and e-Academy.					
Resources required: None					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<ul style="list-style-type: none"> • Risk based approach embedded in culture of the organisation. • All risks effectively managed. 					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S2	Emergencies affecting land or buildings owned or leased by DNPA or operational activity				
	<p>Consequence if no action</p> <p>Incidents such as flooding, storms, fire, which could disrupt the business of the Authority. 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.</p>	<p>Emergency Planning. Close working relationship with police and other emergency services Staff awareness training (induction training). ICT Disaster Recovery plan H&S and Fire Regulations Alternate venues/home working available in the event of loss of office accommodation. Robust maintenance programme and risk assessments for operational property</p>	2	4	8
Additional control measures planned					
<p>This is a risk which it is difficult to control, but is considered relatively low risk Establish a Community Safety Accreditation Scheme with Devon & Cornwall Police IDOX project to scan central filing system will improve access and reduce risk of loss of data</p>					
Resources required:					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<ul style="list-style-type: none"> • Business continuity in the event of an emergency affecting business premises • Effective and appropriate use of DNPA's resources in other emergencies affecting the National Park 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S3	Managing officer workload and potential stress arising out of reduction in Government funding and consequent reduction in staffing				
	<p>Consequence if no action</p> <p>Failure to deliver corporate objectives. High stress levels and staff absence. Targets/improvement not achieved Staff unclear of roles & responsibilities in new structure</p>	<p>HR Policies Business Plan, Directorate Plans, Appraisal and review process – identifying clear priorities and work programmes Staff survey Good internal communications Support to Managers and focus on developing management skills Employee Assistance Programme (counselling)</p>	5	4	20
Additional control measures planned					
<p>This will remain an area of risk as the Authority continues to adapt following reductions in its workforce. Need to be clear on priorities and ensure business processes are supportive Staffing and structure review to be undertaken in 2014/15 in response to further funding cuts Quarterly review and discussion at Leadership Team (led by Head of HR) of 'temperature' of the organisation, identifying any pressure points (e.g impact of long-term sickness absence) and where additional support may be required. Provision of the Project fund within the budget to enable Officers to make in-year bids for to buy-in additional resource.</p>					
Resources required: Staff time and resources to deliver an effective programme. May need external support – can be funded via the Project Fund					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			4	3	12
Outcome					
<ul style="list-style-type: none"> ● Well informed, motivated workforce ● Effective leadership ● Appropriately supported and trained staff 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : STRATEGY

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
S4	Significantly reduced capacity in the Authority following staffing reductions. Reduced resilience: little or no capacity to cover for absences.				
	Consequence if no action High stress levels Poor performance Increase in complaints Reduced quality of work Contracts and obligations not fulfilled	Consolidation of structures to reduce duplication Good internal communications Support to Managers and focus on developing management skills Use of the unallocated Project Fund to bring in extra capacity when required Clear priorities through the Business Plan and appraisal processes	5	4	20
Additional control measures planned					
This will remain an area of risk as the Authority adapts to a significantly reduced budget and potential further reductions. The staff reductions required to balance the budget mean that the Authority has reduced capacity to complete projects and undertake 'work generally'. Need to be clear on priorities and ensure business processes are supportive Potential for increased risk with the retirement of the Director of Communications & Business Support as the post is not being replaced pending a staffing and structure review					
Resources required: Staff time and resources to deliver an effective programme. May need external support					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			4	3	12
Outcome					
<ul style="list-style-type: none"> ● Well informed, motivated workforce ● Effective leadership ● Appropriately supported and trained staff 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

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) both within year (2014/15) and in subsequent financial years.				
	<p>Consequence if no action</p> <p>Insufficient funds to meet statutory requirements and delivery of National Park Purposes. Failure to meet Performance Targets</p>	Revised structure and reductions made in 2011/12 have enabled the Authority to set a balanced budget for 2014/15 but Medium Term Financial Plan indicates need for further reductions in our costs and requirement to continually review and pursue opportunities for income generation.	5	5	25
Additional control measures planned					
Scenario planning as to how we may respond to further reductions in NPG in addition to considering alternative sources of funding. Staffing and structure review planned for 2014/15. Potential in-year cut may require use of Authority reserves to balance the budget given spending commitments agreed via budget setting process.					
Resources required: Officer time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			5	3	15
Outcome					
<ul style="list-style-type: none"> ● Focused organisation with resources targeted to agreed priorities ● Reduced reliance on NPG 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F2	Inadequate financial management				
	<p>Consequence if no action</p> <p>Unfunded budget variance. Under spend of core grant Reputational damage</p>	<p>Budget monitoring process. Devolved budgets with clear accountability supported by timely and accurate financial reporting Quarterly reports to Leadership Team & A&G Committee</p>	2	4	8
Additional control measures planned					
Training for managers in financial management					
Capacity issues are recognised and extra support is brought in to progress work programmes					
Resources required: Staff time and training resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	4	4
Outcome					
<ul style="list-style-type: none"> Financial outturn on target 					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F3	Appeals, Public Enquiries and enforcement action could expose the Authority to considerable financial risks and create poor PR				
	<p>Consequence if no action</p> <p>Bad decisions that damage Dartmoor Significant budget overspend Loss of public confidence Poor PR</p>	<p>Legal services personally review all appeal files External legal advice and support obtained where necessary Treated as priority area of work for legal team and development management team Regular reports to Director of Planning Good Practice Guide for Members and officers (planning) New Enforcement Policy adopted</p>	2	4	8
Additional control measures planned					
<p>Review PR Strategy for these cases, particularly with parish councils Procure expert input when necessary Clear project management arrangements for high profile cases Clear operational procedures to support Enforcement Policy</p>					
Resources required: Staff time and financial resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<ul style="list-style-type: none"> • All decisions are lawful, in accordance with advice and can be supported on appeal • Public confidence in decisions • Minimise payment of costs 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : FINANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
F4	Heritage Lottery Fund Landscape Partnership application/programme				
	<p>Consequence if no action</p> <p>If bid unsuccessful significantly reduced resources to achieve planned work Expectations of organisations and local communities cannot be met Reputational damage</p> <p>If successful requirement for strong financial and performance management</p>	Continued dialogue with HLF focusing on project and risk management. Communications strategy in place.	3	5	15
Additional control measures planned					
Project Manager post to focus on strategic delivery of the project – to include finance and performance management Role of Project Board to become more 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					
<ul style="list-style-type: none"> Successful bid allowing delivery of key benefits to Dartmoor NP and it's communities over 5 years 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G1	Fraud & Corruption				
	<p>Consequence if no action</p> <p>Misappropriation of Authority resources (not always financial)</p>	<p>Financial Regulations. Standing Orders. Prosecution deterrent. Internal checks / controls. Scheme of delegation. Internal / External Audit. Whistle-blowing code. Bank Reconciliation. IT Firewall. IT security / passwords. Anti-fraud & corruption policy in place. Information security policy</p>	1	2	2
Additional control measures planned					
Risks monitored especially during financially difficult times					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	2	2
Outcome					
<ul style="list-style-type: none"> Staff aware of risks and controls regarding fraud & corruption 					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G2	Inadequate procurement practice				
	<p>Consequence if no action</p> <p>Failure of partners/contractors Schemes not delivered on time or over budget. Damage to reputation. Value for Money not achieved Sustainability principles not applied Procurement rules not followed providing opportunity for challenge</p>	<p>Member of Devon Procurement Partnership. Financial appraisal. Risk Assessments. OJEC/Tender process. Contract conditions. Contract management. Insurance. Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures</p>	3	4	12
Additional control measures planned					
Staff training on procurement rules and procedures Project management training					
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					
<ul style="list-style-type: none"> All procurement undertaken within clear guidelines 					

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Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G3	Inadequate management of partnerships and projects				
	<p>Consequence if no action Failure to meet DNPA objectives. Inadequate SLA's and potentially poor performance, service failure & reputational damage. Inadequate contract conditions/management structure & dispute resolution process. Failure of partnership arrangement. Financial over-commitment by the Authority due to unpaid grant claims Poor PR around high profile projects such as <i>Moor than meets the eye</i> and Dartmoor Mires</p>	Bespoke Project Management Framework developed and implemented Risk Assessments. Performance monitoring. Standing Orders. Financial Regulations. Internal/External Audit. External partners' controls	3	4	12
Additional control measures planned					
Ongoing monitoring of compliance with procedures. Need to review project management initiative that was developed and implemented in 2013/14 to ensure it is becoming part of the culture of the organisation. Embed the link between project management and personal performance management.					
Resources required: Staff time, particularly from Legal and Financial services and "Project Makers" (project management champions)					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
<ul style="list-style-type: none"> Robust, well managed partnerships and projects that help to deliver Business Plan and National Park Management Plan objectives 					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

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				
	<p>Consequence if no action</p> <p>Financial cost. Judicial reviews/Legal challenges. Loss of reputation. Demands on legal service time High level of complaints/appeals</p>	<p>Complaints procedures. Ombudsman. Legal process. Authority policy of open & honest response to complaints. Standing Orders Rules & Procedures in relation to decision making. Publications Scheme (FOI)</p>	2	3	6
Additional control measures planned					
Ongoing training for staff and Members					
Resources required: Staff & member time and training resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<ul style="list-style-type: none"> Low level of complaints, appeals & legal challenge 					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Risk Category : GOVERNANCE

Risk Ref	Risk Description	Control measures to manage risk	Risk Rating		
			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Residual Risk Rating
G5	Changes in legislation/failure to implement new legislation or policy				
	<p>Consequence if no action</p> <p>Financial cost/budget difficulties. Requirement to revise working practices or introduce new systems. Potential compliance difficulties. Financial impact if the Authority cannot effectively respond promptly</p>	<p>The National Park Authorities ' Legalnet', South West Employers (HR) Technical Support Subscription (Finance) Monthly legal updates from internal Legal Service On-line legislation support (Legal) Various on-line alerts Up-dates and policy work via National Parks England</p>	2	3	6
Additional control measures planned					
Various legislation relating to planning to be monitored closely					
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					
<ul style="list-style-type: none"> Legally compliant with no challenges through Judicial Review 					

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