

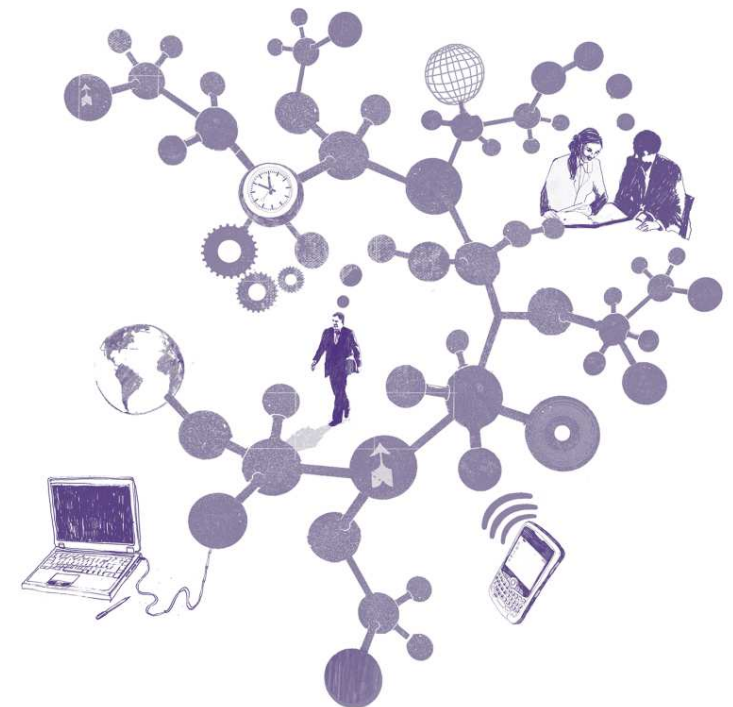


The Annual Audit Letter for Dartmoor National Park Authority

Year ended 31 March 2014

24 October 2014

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Key messages

Our Annual Audit Letter summarises the key findings arising from the work that we have carried out at Dartmoor National Park Authority ('the Authority') for the year ended 31 March 2014.

The Letter is intended to communicate key messages to the Authority and external stakeholders, including members of the public. Our annual work programme, which includes nationally prescribed and locally determined work, has been undertaken in accordance with the Audit Plan dated 16 May 2014 and was conducted in accordance with the Audit Commission's Code of Audit Practice, International Standards on Auditing (UK and Ireland) and other guidance issued by the Audit Commission.

Financial statements audit (including audit opinion)	<p>We reported the findings arising from our audit of the financial statements to the Authority in our Audit Findings Report on 5 September 2014. The key messages reported were:</p> <ul style="list-style-type: none">• only a small number of disclosure changes were made to the Authority's accounts;• management should perform an overview of the asset valuations outside the formal cyclical revaluation programme; and• the need for a contingent liability within the Authority's financial statements relating to a historic, pass through grant for farmers should be kept under review. <p>We issued an unqualified opinion on the Authority's 2013/14 financial statements on 26 September 2014, meeting the deadline set by the Department for Communities and Local Government. Our opinion confirms that the financial statements give a true and fair view of the Authority's financial position and of the income and expenditure recorded by the Authority.</p>
Value for Money (VfM) conclusion	<p>We issued an unqualified VfM conclusion for 2013/14 on 26 September 2014.</p> <p>On the basis of our work, and having regard to the guidance on the specified criteria published by the Audit Commission, we are satisfied that in all significant respects the Authority put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2014.</p>

Key messages

Whole of Government Accounts	We reviewed the consolidation pack which the Authority prepared to support the production of Whole of Government Accounts. We reported that the Authority's pack was consistent with the audited financial statements and was below the threshold for further auditing.
Audit fee	Our fee for 2013/14 was £11, 807, excluding VAT, which was in line with our planned fee for the year. Further detail is included within appendix B.

Appendix A: Key issues and recommendations

This appendix summarises the significant recommendations made during the 2013/14 audit.

No.	Issue and recommendation	Priority	Management response/ responsible office/ due date
1.	<p>The Authority's assets are revalued in accordance with a formal revaluation cycle and not on an annual basis.</p> <p>Recommendation: In accordance with International Accounting Standards, management should perform a review, on an annual basis, of all assets which have not been revalued in-year.</p>	High	<p>Management response: Management will liaise with the valuer in-year to assess how this can be performed.</p> <p>Responsible officer: Donna Healy Due date: June 2015</p>
2.	<p>The Authority had previously included a contingent liability in its financial statements relating to the possible repayment of a DEFRA grant. This was removed in 2013/14.</p> <p>Recommendation: The Authority should continue to review the need to disclose a contingent liability for this item.</p>	High	<p>Management response: This was confirmed at the Authority meeting on 5 September 2014.</p>

Appendix B: Reports issued and audit fees

We confirm below the fee charged for the audit and confirm there were no fees for the provision of non audit services.

Fees

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

Fees for other services

Service	Fees £
None	Nil

Reports issued

Report	Date issued
Audit Plan	May 2014
Audit Findings Report	September 2014
Annual Audit Letter	October 2014



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DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

21 NOVEMBER 2014

**FINANCIAL MANAGEMENT 1 APRIL TO 30 SEPTEMBER 2014
AND FORECAST OF FINANCIAL OUTTURN 2014/15**Report of the Head of ResourcesRecommendation : **That the content of the report be noted****1 Monitoring and Management of Revenue Budgets (April to September 2014)**

- 1.1 This report enables Members to monitor income and expenditure variations against the approved budget for 2014/15. Effective budgetary control is essential to ensure priorities are delivered in accordance with the Authority's plans. Budget Management is a dynamic process, resulting in the budget being subject to many varying pressures throughout the year.
- 1.2 The Authority's Financial Regulations provide delegated authority for the Chief Executive (National Park Officer) in consultation with the Chief Financial Officer to enact budget virement below £30,000. Above that sum, Members' approval would be sought.
- 1.3 Processes for sound budget management are well established within the Authority, with quarterly reports to the Leadership Team and detailed and continuous budget monitoring being carried out across all Directorates involving Heads of Service, spending officers and finance staff. This ensures the early identification of pressures and variances so that timely management action can be taken to adjust the budget and/or work programmes accordingly.

2 Forecast Outturn Position as at the 30 September 2014

- 2.1 The 2014/15 net budget was set at £3,705,543 (NPA/14/008) funded by National Park Grant (NPG) fees and charges and Earmarked Reserves. The Authority approved various appropriations to reserves at the end of the 2013/14 financial year (NPA/14/027) which is then allocated to the 2014/15 budget as expenditure is incurred. This has resulted in the net budget increasing to £3,993,056.
- 2.2 Current projections, based on figures at the end of June, indicate that a surplus of £64,103 may arise. A Cost Centre summary can be found at Appendix 1 and a detailed analysis at Appendix 2.
- 2.3 The main variations and movements in the management accounts are as follows:

Salaries - A surplus of £39,416 mainly due to vacancies, some of which have been addressed, or are being held on purpose to cover secondments, interim management arrangements, temporary staff and to offset maternity leave costs. There are also

some in-year changes relating to existing staff e.g. grade changes & working hour adjustments.

Travel & Transport - A surplus of £1,311 - full use of the 3 pool cars and using hire cars for longer journeys, continues to reduce mileage claims in the “grey fleet” usage. This offsets increased fuel costs and fleet repair costs incurred on returning leased vehicles, the leases also being extended by 6 months.

Premises - A deficit of £35,596 mainly relating tree works on the Parke Estate and an on-going water leak investigation at Parke and rendering, drains and electrical works at Princetown.

Supplies and Services - A deficit of £33,925 - see Appendix 2 for detail, the most significant variations being:

- £8,900 expenditure planned for the Historic Farmsteads Guidance Project – being funded by English Heritage
- £1,678 Moor than Meets the Eye Development Phase overspend to be met by DNP
- £5,282 on flood repairs that will be funded from reserves (Defra Grant received in 2013/14)
- £2,488 on equipment & uniform in the Ranger Service and Conservation Works Team budgets
- £7,508 enforcement related legal costs
- £8,692 saving in the Forward Planning budget relating to the Minerals Plan – a collaborative approach is being proposed
- £10,000 deposit / booking fee to secure the 2015/16 NP Conference venue, being offset by subscriptions & Audit related savings
- £4,465 increased costs to install a new microphone system in the meeting room

Grant income - Increased grant income of:

- £5,300 from the Duchy of Cornwall towards the Hill Farm Project
- £8,900 from English Heritage for the Historic Farmsteads Guidance Project (see above)

Sales, Fees & Charges - A surplus of £78,797- see Appendix 2 for detail, the most significant variations being:

- £2,118 received for filming / use of land / wayleaves
- £27,280 Visitor Centres sales income
- £1,000 Gallery sales commission
- £17,745 Planning fee income
- £1,413 Business Rates rating revaluation refund for Parke
- £3,000 Airwick royalties
- £2,500 Treasury deposit interest
- £12,762 Renewable Heat Incentive income from the Biomass boiler

2.4 Within the budget the Authority set aside a Project Fund budget of £85,860 for this financial year. To date £61,669 expenditure has been approved by Leadership Team, which includes:

- £1,055 Gazebo - Outreach Vehicle – to improve ‘offer’ at local shows etc by providing shelter from rain
- £17,178 Aerial Photography
- £1,037 Society for the Protection of Ancient Buildings (SPAB) Event
- £4,000 Princetown Toilets (grant to the Parish Council)
- £3,000 Project with Animated Exeter and Princetown School
- £1,835 Bandwidth for the Princetown offices
- £10,000 Commercial Partnership (ANPA)
- £11,814 Installation of Door Entry System at Parke as recommended by the Police
- £750 Business Survey Analysis
- £5,000 Princetown Car Park Access Road repairs
- £4,000 Outreach vehicle & trailer wrap
- £2,000 Improvements to staff facilities and kitchen at Parke

3 Treasury management Stewardship

- 3.1 The function of Treasury Management (borrowing and lending monies) is covered by the CIPFA Code of Practice on Treasury Management in the Public Services. The Authority adopted this Code in 2004. In compliance with the code, the Authority approves a Treasury Management Policy & Investment Strategy annually (NPA/14/007). This sets out the detail on how the function is to be carried out, and delegates overall management of it to the Chief Financial Officer and its day to day implementation to the Head of Resources.
- 3.2 In addition the Authority is legally required to approve certain maximum borrowing levels before the start of each financial year, although the levels may be changed during the ensuing year if necessary. The borrowing levels for 2014/15 were nil however, should an overdraft be required, Barclays Bank Plc have agreed a facility of up to £100,000 to the Authority.
- 3.3 The Authority seeks to operate its accounts in credit, and any short-term surplus funds are deposited with in our bank accounts or the Barclays Treasury Deposit Account. Various forecasts have to be made about the likely interest rate movements and cash flow variations and an estimate of likely income from investment receipts are included in each year’s Revenue Budget.

The following table shows the outturn position for the previous six financial years and a forecast outturn for 2014/15.

2008/09 Outturn	2009/10 Outturn	2010/11 Outturn	2011/12 Outturn	2012/13 Outturn	2013/14 Outturn	2013/14 Forecast Outturn
£111,726	£12,920	£13,841	£10,809	£21,920	£16,013	£15,500
Average Interest Rate*	Average Interest Rate	Average Interest Rate	Average Interest Rate	Average Interest Rate	Average Interest Rate	Average Interest Rate
3.3%	0.3%	0.2%	0.3%	1.8%	1.07%	1.50%

*Dropped to 0.6% December 2008

3.4 Members will be aware that since the near banking collapse in 2008 and the subsequent recession, interest rates have remained very low. This has severely affected the Authority's ability to generate an income stream from its cash balances and this has had a significant effect on the revenue budget and Medium Term Financial Plan.

4 Capital Programme and Prudential Indicators

4.1 The Authority set a small capital programme for 2014/15 totalling £51,100 to replace the following leased vehicles:

- Pool car (budget £9,000) – awaiting quotes
- Ranger service Land Rover – like for like at £19,337
- Conservation Works Team Hi-lux – with a Ford Ranger at £19,161.

The remaining budget will be used to fit out and “wrap” the vehicles.

4.2 The 2014/15 capital programme is financed from Reserves. The Authority has no plans for external borrowing and therefore the remaining prudential indicators do not apply.

5 Reserves

5.1 The Authority brought forward Earmarked Reserve balances totalling £2.894 millions on 1 April 2014, which includes the General Reserve of £300,000 (see Appendices 3 and 4 and the Financial Outturn Report NPA/14/027, dated 6 June 2014).

5.2 The Earmarked Reserves includes grants and contributions received in previous years which are ring fenced for specific projects. These total £226,588 and are listed in the top section of Appendix 3, most of which have already been allocated to the budget as previously described in 2.1 above (except for the £47,000 New Homes Bonus grant which is being held to fund the public realm works at Princetown). Costs for the ramp at Princetown have escalated significantly. It has meant that this work has now been put on hold pending an expression of interest to the HLF for all phase 2 works to Princetown. It will therefore be necessary to carry forward this budget allocation to 2015/16.

5.3 A further £107,925 in committed expenditure and Project Fund carry forwards has also been allocated to the budget as approved at year end.

5.4 The extra grant from Defra for flood and storm damage works will be allocated as orders are raised / works is completed.

5.5 The money set aside for the Moor than Meets the Eye HLF project will be transferred into that ring fenced and totally separated Cost Centre now that approval to commence has been received.

5.6 Other earmarked match funding amounts include:

- Cycling
- Greater Dartmoor LEAF
- Naturally Healthy Dartmoor

Funding will be allocated according to project / programme requirements, but it should be noted that these projects straddle more than one financial year.

- 5.7 Provisional sums have also been earmarked for building improvements, maintenance works and Princetown Visitor Centre Phase II. These will be allocated as and when required. If the current reported surplus is not utilised in-year then it will be used to offset some of these costs.
- 5.8 Based on the current financial position, the year-end balance for earmarked reserves is anticipated to be circa £1.567 millions. However we are in the process of building the 2015/16 Budget and Medium Term Financial Plan and future NPG allocations are currently unknown, the forecast trajectory is still for further reductions. Our reserves may be more than ever required to help us produce a balanced budget. The General Reserve will be maintained at £300,000.

6 Sustainability and Equality Impact

- 6.1 Consideration is always given, when deciding which areas of expenditure should be supported, of the impact on under-represented groups, and the need to promote equal opportunities both as an employer and in respect of the services provided.

7 Conclusions

- 7.1 The forecast outturn surplus of £63,103 represents a -1.58% variance against the revised 2014/15 budget. It should be noted that some forecasts are likely to fluctuate, especially if some projects are delayed due to poor weather conditions, or if other income is received and / or generated in the next 6 months. Action to realign budgets is not therefore recommended at this time.
- 7.2 The current year's projected outturn will be robustly monitored and challenged over the remaining six months to ensure that the Authority's aims, objectives and outcomes are achieved. Members will be notified before year-end if any new budget pressures, or significant variations are likely to occur.

DONNA HEALY

Background Papers

NPA/14/008 – 2014/15 Net Revenue Budget, Medium Term Financial Plan & Capital Budget
NPA/14/007 - Treasury Management Investment Strategy 2014/15
NPA/14/027 - Financial Outturn 2013/14

Attachments – **Appendix 1 - Revenue Budget Monitoring Report as at 30.06.13**
Appendix 2 - Outturn Variance Analysis
Appendix 3 - General and Earmarked Reserve Balances
Appendix 4 - Reserves: Risk Based Analysis

2014/15 Revenue Budget Monitoring: Summary Report 1 April to 30 September 2014

Functional Strategy	2014/15 Original Budget £	2014/15 Budget Variation/ Virement £	2014/15 Revised Budget	2014/15 Actual & Committed Month 6 £	2014/15 Budget Remaining	2014/15 Projected Outturn	2014/15 Year End Deficit/ (Surplus) £
Biodiversity	100,303	0	100,303	50,252	(50,051)	106,506	6,203
Mires - SWW Funded	0	0	0	153,405	153,405	0	0
Land Management	13,056	20,680	33,736	7,325	(26,411)	31,618	(2,118)
Woodlands	40,565	0	40,565	19,569	(20,996)	41,022	457
Hill Farm Project	26,501	0	26,501	(5,497)	(31,998)	20,998	(5,503)
Hill Farm Project - RDPE funded	0	0	0	52,057	52,057	0	0
South West Protected Landscapes	0	0	0	12,308	12,308	0	0
Directorate Costs	3,730	0	3,730	2,288	(1,442)	3,819	89
Natural Environment	184,155	20,680	204,835	291,707	86,872	203,963	(872)
Archaeology	100,858	56,647	157,505	73,525	(83,980)	147,133	(10,372)
Built Environment	39,435	7,944	47,379	26,575	(20,804)	47,476	97
Moor than Meets the Eye - Development Phase	0	0	0	28,667	28,667	1,678	1,678
Moor than Meets the Eye - Delivery Phase	0	0	0	12,795	12,795	0	0
Higher Uppacott	26,228	0	26,228	13,469	(12,759)	25,755	(473)
Cultural Heritage	166,521	64,591	231,112	155,031	(76,081)	222,042	(9,070)
Visitor Management	107,228	9,000	116,228	71,149	(45,079)	117,538	1,310
Access	98,322	0	98,322	47,721	(50,601)	97,998	(324)
Public Rights of Way	81,596	12,547	94,143	32,326	(61,817)	99,341	5,198
Sustainable Transport & Tourism	24,090	0	24,090	9,276	(14,814)	25,693	1,603
Traffic Management	0	0	0	302	302	302	302
Recreation Management, Traffic & Transport	311,236	21,547	332,783	160,774	(172,009)	340,872	8,089
Visitor Centres	188,029	63,057	251,086	110,884	(140,202)	225,723	(25,363)
Communications	174,429	3,000	177,429	91,995	(85,434)	179,480	2,051
Naturally Healthy Dartmoor	0	0	0	65	65	65	65
Education	114,069	5,055	119,124	56,644	(62,480)	120,410	1,286
Education, Information & Communication	476,527	71,112	547,639	259,588	(288,051)	525,678	(21,961)
Rangers	404,076	0	404,076	204,161	(199,915)	409,763	5,687
Conservation Works Service	217,413	0	217,413	109,502	(107,911)	221,922	4,509
Development Management	348,461	0	348,461	148,930	(199,531)	328,341	(20,120)
Forward Planning & Community	183,361	37,674	221,035	119,404	(101,631)	208,660	(12,375)
Your Dartmoor Grant Fund	75,000	90,751	165,751	58,134	(107,617)	161,281	(4,470)
Corporate and Democratic Core	318,669	10,000	328,669	185,154	(143,515)	322,279	(6,390)
Information Technology	195,935	17,178	213,113	123,301	(89,812)	203,402	(9,711)
Corporate Operating Costs	94,732	1,835	96,567	97,180	613	97,306	739
Resources	180,387	0	180,387	86,557	(93,830)	169,623	(10,764)
Legal & Democratic Services	105,455	0	105,455	39,963	(65,492)	93,623	(11,832)
Human Resources	142,698	11,814	154,512	86,392	(68,120)	156,976	2,464
Office Accommodation (Parke)	113,245	2,000	115,245	76,410	(38,835)	117,799	2,554
Office Accommodation (Princetown)	50,712	0	50,712	54,098	3,386	70,132	19,420
Corporate Services	883,164	32,827	915,991	563,901	(352,090)	908,861	(7,130)
Capital	51,100	0	51,100	0	(51,100)	51,100	0
Project Fund	85,860	(61,669)	24,191	0	(24,191)	24,191	0
Total Net Expenditure	3,705,543	287,513	3,993,056	2,256,286	(1,736,770)	3,928,953	(64,103)
Funded By:	£			£	£	£	£
National Park Grant	(3,636,835)	0	(3,636,835)	(2,056,622)	1,580,213	(3,636,835)	0
Transfers from reserves: 2013/14 b/fwd balances	(68,708)	(287,513)	(356,221)	0	356,221	(356,221)	0
New Homes Bonus Grant - SHDC	0	0	0	(17,277)	(17,277)	0	0
Total	(3,705,543)	(287,513)	(3,993,056)	(2,073,899)	1,919,157	(3,993,056)	0
Budget Variation - (Under) / Over Spend	0	0	0	182,387	182,387	(64,103)	(64,103)

2014/15 BUDGET MONITORING REPORT: VARIANCE ANALYSIS AS AT MONTH 6	Salaries £	Travel & Subsistence £	Premises £	Transport £	Supplies & Services £	Expenditure Overspend (Underspend) £	Grants £	Sales Fees & Charges £	Income Deficit (Surplus) £	Total Variance Deficit (Surplus) £	Explanation
BIODIVERSITY	6,136	68				6,204			0	6,204	Maternity cover
MIRES - Grant Funded						0			0	0	Outturn will be Zero as 100% grant funded
LAND MANAGEMENT						0		(2,118)	(2,118)	(2,118)	Filing income
WOODLANDS	(172)	968				796		(338)	(338)	458	Mileage costs
SOUTH WEST PROTECTED LANDSCAPES						0			0	0	Outturn will be Zero as 100% grant funded
HILL FARM PROJECT	97	(300)				(203)	(5,300)		(5,300)	(5,503)	Increased Contribution from Duchy. Prince's Countryside Funding bid submitted. Final Outturn unknown at this time, but potential carry forward request
HILL FARM PROJECT - RDPE funded						0			0	0	Outturn will be Zero as 100% grant funded
DIRECTORATE COSTS		89				89			0	89	
NATURAL ENVIRONMENT	6,061	825	0	0	0	6,886	(5,300)	(2,456)	(7,756)	(870)	
ARCHAEOLOGY	(9,174)	(1,270)		29	593	(9,822)		(550)	(550)	(10,372)	Part time hours savings. Travel savings. Overspends covered by income
BUILT ENVIRONMENT	62	35			8,900	8,997	(8,900)		(8,900)	97	Historic Farmsteads - externally funded by English Heritage
MTMTE - Development Phase					1,678	1,678			0	1,678	Deficit from the Development phase of the MTMTE scheme
MTMTE - Delivery Phase						0			0	0	Partnership scheme reported separately - DNP is lead partner
UPPACOTT			18		455	473		(946)	(946)	(473)	Event costs covered by event income
CULTURAL HERITAGE	(9,112)	(1,235)	18	29	11,626	1,326	(8,900)	(1,496)	(10,396)	(9,070)	
VISITOR MANAGEMENT	(143)		(10)	763	225	835		475	475	1,310	Increased fuel costs
ACCESS & RECREATION	56	(2)		122		176		(500)	(500)	(324)	
PUBLIC RIGHTS OF WAY	167				5,282	5,449		(250)	(250)	5,199	Flood work to be met from reserves
SUSTAINBLE TOURISM & TRANSPORT	2,603				(750)	1,853		(250)	(250)	1,603	JE - regraded post. Haytor Hoppa contribution. Welcome Guides not being completed this year
TRAFFIC MANAGEMENT					302	302			0	302	Speed visor batteries
RECREATION MANAGEMENT	2,683	(2)	(10)	885	5,059	8,615	0	(525)	(525)	8,090	
VISITOR CENTRES	(224)	79	14		2,048	1,917		(27,280)	(27,280)	(25,363)	Bar code labels and retail bags being offset by increased sales income
COMMUNICATIONS	2,585	361			105	3,051		(1,000)	(1,000)	2,051	SLA in place for Communications Manager Post. Gallery sales commission
NATURALLY HEALTHY DARTMOOR					65	65			0	65	Project just started - working budget to be determined
EDUCATION	235	43		281	394	953		332	332	1,285	Vehicle servicing, Uniform and Guided Walk income not achieved
PROMOTING UNDERSTANDING	2,596	483	14	281	2,612	5,986	0	(27,948)	(27,948)	(21,962)	
RANGERS	2,763	278	50	2,131	1,341	6,563		(875)	(875)	5,688	Overtime. Travel costs. Vehicle leases extended. Uniform & equipment costs
CONSERVATION WORKS	4,204	(84)	388	(750)	1,147	4,905		(396)	(396)	4,509	Apprentice contract extended. Vehicle lease extended, equipment & uniform
RANGERS, ESTATES & VOLUNTEERS	6,967	194	438	1,381	2,488	11,468	0	(1,271)	(1,271)	10,197	
DEVELOPMENT MANAGEMENT	(9,437)	(506)		60	7,508	(2,375)		(17,745)	(17,745)	(20,120)	Vacancy gap now filled, salary grading variations. Enforcement related Legal costs. Increased Planning fee income
DEVELOPMENT MANAGEMENT	(9,437)	(506)	0	60	7,508	(2,375)	0	(17,745)	(17,745)	(20,120)	
FORWARD PLANNING & COMMUNITIES	(3,293)	(362)				(8,692)		(30)	(30)	(12,377)	Salary grading variation. Public Realm works to be funded from reserves. Stand alone Minerals Plan will not happen, looking to produce a single consolidated local plan, to include policies.
YOUR DARTMOOR GRANT FUND	(4,719)				5,634	915		(5,385)	(5,385)	(4,470)	Vacancy now filled. Event expenditure covered by income. Salary saving can be used as grant funding
FORWARD PLANNING	(8,012)	(362)	0	0	(3,058)	(11,432)	0	(5,415)	(5,415)	(16,847)	
CORPORATE & DEMOCRATIC CORE	(5,094)	(739)		350	5,592	109		(6,500)	(6,500)	(6,391)	Vacancy saving. Deposit paid to secure the booking for the NP Conference 2015/16. Second Airwick royalties instalment
CORPORATE & DEMOCRATIC CORE	(5,094)	(739)	0	350	5,592	109	0	(6,500)	(6,500)	(6,391)	
INFORMATION TECHNOLOGY	(8,170)	112			12	(707)		(958)	(958)	(9,711)	Vacancy now filled, salary grading variation
CORPORATE OPERATING COSTS			(219)	(2,898)	3,754	637		102	102	739	New committee room microphone system & pool cars fuel saving
RESOURCES	(10,006)				(758)	(10,764)			0	(10,764)	Vacancy savings, staff not in LGPS offsetting temporary agency staff and new Apprentice
LEGAL	(11,626)	(182)			91	(11,717)		(115)	(115)	(11,832)	Vacancy saving
HUMAN RESOURCES	4,058	101			(282)	3,877		(1,413)	(1,413)	2,464	Cycle scheme purchase to be recovered via pay. Internal Secondment to support NP Conference and cross-cutting HR related tasks. Income: External works recharge
OFFICE ACCOMMODATION (PARKE)	(324)		3,173			2,849		(295)	(295)	2,554	Tree work on Parke Estate and recent water leak which is being addressed
OFFICE ACCOMMODATION (PRINCETOWN)			32,182			32,182		(12,762)	(12,762)	19,420	Premises: drains improvements, external rendering and electrical works - provision in reserves if required. RHI income from Biomass boiler
CORPORATE SERVICES	(26,068)	31	35,136	(2,886)	2,098	8,311	0	(15,441)	(15,441)	(7,130)	
						0			0		
						0			0		
REVENUE EXPENDITURE	(39,416)	(1,311)	35,596	100	33,925	28,894	(14,200)	(78,797)	(92,997)	(64,103)	

2014/15 Reserve Balances	2014/15 Opening Balance	2014/15 Movements	2014/15 Closing Balance	Notes
	£	£	£	
Grants & Contributions with Restrictions				
Dartmoor Sustainable Development Fund	(89,714.00)	89,714.00		DNPA - grants awarded, not yet paid
Farming Futures	(20,680.00)	20,680.00		
HERO	(10,000.00)	10,000.00		
White Horse Hill	(46,647.00)	46,647.00		English Heritage & Partners
Public Rights of Way	(12,547.00)	12,547.00		
New Homes Bonus	(47,000.00)	47,000.00		For Public Realm works
	(226,588.00)	226,588.00	0.00	
Earmarked Reserves Opening Balance :	(1,909,496.66)			
Project Fund				
Broadband	(10,000.00)	10,000.00		
Holne Shop valuation review	(400.00)	400.00		
Greater Dartmoor Leaf	(1,250.00)	1,250.00		
Postbridge Village Hall	(3,000.00)	3,000.00		
Committed Expenditure				
Conservation Area Appraisals	(7,944.00)	7,944.00		
Princetown Visitor Centre	(63,057.00)	63,057.00		
Ashburton Mater Planning	(22,274.00)	22,274.00		
Defra: Flood & Winter Storm Damage - Grant	(150,000.00)	150,000.00		
External / Match Funding				
HLF - Moor Than Meets the Eye match funding	(200,000.00)	200,000.00		Allocated as part of MTPF
Cycling in National Parks (DFT) match funding		30,000.00		(NPA/13/015) to be paid over in 2014/15 & 2015/16
2014/15 MTFP				
2014/15 Capital Programme		51,100.00		Vehicles
2014/15 Premises - provisions for Repairs & Maintenance		92,000.00		Estimates only
2014/15 Princetown Visitor Centre - Phase II		100,000.00		Estimates only
2014/15 Chagford Cattle Grid		3,000.00		Approved....timing unknown
NPA/14/038 - GD LEAF 2015-2020		41,400.00		Committed for 6 years (2015-2020)
NPA14/031 Naturally Healthy Wellbeing Project		25,000.00		Contribution covers 3 years + £20k pa from DCC
Budget Management Fund C/Fwd	(2,367,421.66)	800,425.00	(1,566,996.66)	
General Reserve	(300,000.00)	0.00	(300,000.00)	Statutory Minimum Reserve
Total General Fund Balance	(2,894,009.66)	1,027,013.00	(1,866,996.66)	

2014/15 Opening Reserve Balances: Risk Based Analysis	Risk Level	Rate	2013/14 Closing Balance £'000
Employees:			
Allowance for increased pay awards	Low	1% extra PA	35
Maternity / Paternity Cover	High	Based on 4 staff	42
Equal Pay Claims / Employment Tribunals	Medium	Est.	50
Redundancy post 2014/15	Low	Est.	100
2016/17 National Insurance / Pension changes (ongoing future pressure)	High	Est.	55
Pension Fund - Past Deficit Recovery	Medium	Est.	201
Costs & Awards:			
Appeals / Public Enquiries / Litigation	High	Est.	250
Loss of Income:			
Planning related fees	Medium	5%	9
Reduced Sales	High	10%	19
Partnership Income / Grants	High	10%	14
General Inflation:			
	Medium	Average of 3%	42
External Funding:			
Grants & Contributions with Restrictions	N/A	Actual	377
Match Funding Reserve - unallocated	N/A	Actual	78
HLF - Landscape Partnership Bid - phase 2	N/A	Actual	200
Cycling in National Parks - DFT bid submitted	N/A	Actual	30
Property:			
Repairs & maintenance - general provision	Medium	Est.	130
2014/15 Projects & Commitments			
See appendix 2 for Committed Expenditure b/fwd	N/A	Actual	108
Parke Stable Wing - gabions & Princetown Visitor eCentre rendering	N/A	Est.	92
Princetown Visitor Centre Phase II	N/A	Est.	100
Chagford Cattle Grid	N/A	Actual	3
Capital Projects in 2014/15			
Vehicle replacement Programme	N/A	Actual	51
Revenue - Future Reductions in NPG			
2% reduction	High	Rebased NPG	74
6% reduction	High	Rebased NPG	219
10% reduction	High	Rebased NPG	315
General Reserve - Minimum amount to cover unanticipated costs / emergencies			300
Total Reserve Balance			2,894

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

21 November 2014

FEES AND CHARGESReport of the Head of ResourcesRecommendation : **That Members:**

- (i) **Discuss the proposed level of fees and charges for 2015/16 as set out in Appendix 2;**
- (ii) **Make recommendations for further changes or new charges, prior to the Authority being asked to approve a complete set of fees and charges in early 2015**

1 Background

1.1 The Authority is responsible for a number of services for which fees are permitted to be charged in order to offset the costs involved. The fees and charges considered to be appropriate were originally set when Dartmoor National Park Authority became a free-standing Authority in 1997. The Government requires that Local Authorities should raise revenue wherever possible to cover costs which means that fees and charges (which include recommended donations) are reviewed and approved on an annual basis.

2 Current Situation

2.1 The Authority needs to consider the fees and charges for each financial year when setting its budget. Whilst not a major source of income (excluding planning and mobile vending), fees and charges do assist the Authority in setting a balanced budget and in covering the costs of delivering some services. The charges applied may be the difference between providing a service and having to withdraw it altogether.

2.2 This report does not include the setting of Planning Fee charges or Pre-application Planning advice fees. Planning fees are set centrally by Government. The Authority will receive a separate report shortly, in relation to the potential introduction of new Pre-application advice fees.

2.3 A report was presented to the Authority in January 2014 (NPA/14/005) and the fees and charges for 2014/15 were approved. The majority remained unchanged, there was one new charged introduced:

- **Public Path Orders:** for extending a temporary closure and submission to Secretary of State to cover Officer time and advertising costs

2.4 A new charge for supplying information under the Environmental Information Regulations was also adopted during this financial year (NPA/14/032).

- 2.5 Appendix 1 provides information on the budgeted level of income expected from fees and charges for 2014/15, the level achieved for the first six months and the projected outturn for the financial year.

3 Recommendations for 2015/16

- 3.1 The proposed schedule of fees and charges for 2015/16 is attached at Appendix 2. Many of these charges have remained unchanged since 2008 as they are individually so small that by increasing them annually, by just inflation, would be inefficient.
- 3.2 It is proposed that the charges for photocopying (last changed in 2008) and for providing hospitality (set in 2011) are increased marginally to cover the cost of officer time in providing them. Materials costs have remained fairly constant due to efficient procurement practice.
- 3.3 Charges for the repair/replacement of gateways/posts have been revised to cover the cost of officer time to reach the site and affect the repair and the updated commercial cost of materials.
- 3.4 The charges for Education guided walks and private talks were last revised in 2011. The proposed increases will still see us charging a more than competitive price in the local market and our offer is both different and provides added value. The majority of our customers are schools and these charges are considered small in relation to the overall cost of out of school activities (for example cost of coach hire and teacher cover).
- 3.5 The annual Ranger Ralph membership fee was first introduced in 2011 at £5 and has remained the same ever since. It is therefore proposed to increase this to £6; attendance at events is still free. We are also currently investigating the introduction of a Junior Ranger Programme, by running a pilot in 2015.
- 3.6 Under the heading of Miscellaneous on the attached schedule we include a range of charges for filming, use of car parks for events and associated officer support. It is proposed that these rates are set as the 'minimum charge' which gives us room to negotiate appropriately in respect of event type and scale.
- 3.7 Car parking at Princetown – officers are currently undertaking a review of the first year's income and operating costs via the Service Level Agreement with West Devon Borough Council (WDBC). However, at the time of writing this report full details are not available due to delays in receiving information from WDBC.. The first year's charge (£1 a day per car) was considered to be a trial, after consultation with the local community and businesses in Princetown. Anecdotal customer feedback received is that the £1 daily charge is considered to be extremely low and that most visitors expect to pay more. (Net receipt to the Authority is £0.66p when taking into account deductions for VAT and the administration charge levied by WDBC at 20%). Officers are therefore considering increasing the charges as set out in the attached schedule, subject to a full cost analysis being completed for the first year of operation. Any revision of these charges will require an amendment to the off road parking places order, which will be subject to a formal period of public consultation that would need to be undertaken by WDBC. (Cost / timing to be determined with WDBC).

4 Financial Implications

- 4.1 As previously stated, fees and charges (excluding planning fees, sales and mobile vending) are not a major income source for the Authority and the income projected for the current financial year is £47,631 (£61,407 in 2013/14) (see Appendix 1).
- 4.2 The proposed fees and charges as set out in Appendix 2 will be incorporated into the 2015/16 Revenue Budget, which will be presented to the Authority (in draft form) in January or February.

5 Equality and Impact Assessment

- 5.1 The implications for access to services and the economy of the area are fully considered and addressed in all of the Authority's policies, especially when considering charging for services. Consideration is given to proactively engaging those who may not otherwise access Dartmoor, being mindful of potential barriers and balancing the need to generate income and maintaining budgets that are flexible and responsive to the needs of service users.

DONNA HEALY

Background Papers: NPA/14/005

Attachments: Appendix 1 - Income to date for 2014/15
Appendix 2 - Proposed fees and charges 2015/16

Sales, Fees and Charges	2013/14 Outturn	2014/15 Budget	2014/15 Actual at Month 6	2014/15 Forecast Outturn	2014/15 Variance Under (Over)	
	£	£	£	£	£	
Sale of Wood & Logs	(2,421)	0	(168)	(168)	(168)	
Filming & Wayleaves	(6,782)	0	(2,118)	(2,118)	(2,118)	
Farm Environmental Plans	(3,075)	0	(450)	(450)	(450)	
Talks	(300)	0	(100)	(100)	(100)	
Room Hire & refreshments (Parke)	(616)	0	(295)	(295)	(295)	
Work Recharged to 3rd Parties	(2,240)	0	(1,250)	(1,250)	(1,250)	Rangers, Conservation Works & HR
Events: Higher Uppacott	(364)	(200)	(900)	(900)	(700)	
Photocopying	(387)	(200)	(39)	(50)	150	
Legal Costs recovered	(7,915)	(4,250)	(3,435)	(4,250)	0	
Other donations (All services)	(3,627)	(3,000)	(3,305)	(3,500)	(500)	
Donations made at Car Park Cairns	(13,723)	(9,000)	(9,769)	(11,500)	(2,500)	Postbridge, Haytor, Meldon, Dartmeet, Newbridge
Car Parking charges at Princetown	(9,089)	(22,000)	(5,720)	(14,000)	8,000	
Guided Walks	(840)	(800)	(367)	(500)	300	
Educational Walks	(4,530)	(5,000)	(2,190)	(5,000)	0	
Ranger Ralph	(775)	(650)	(470)	(550)	100	
£ for the Park	(4,723)	(2,500)	(2,521)	(3,000)	(500)	
	(61,407)	(47,600)	(33,097)	(47,631)	(31)	
Information Centres Sales	(84,005)	(87,750)	(84,321)	(115,000)	(27,250)	
Mobile Vending	(20,132)	(18,650)	(17,660)	(17,660)	990	
Affordable Housing Valuations	(1,164)	0	(1,034)	(1,034)	(1,034)	
Housing Viability Assessments	0	0	(800)	(800)	(800)	
Enforcement Fees	(2,515)	0	(780)	(2,000)	(2,000)	
Planning Fees	(169,722)	(170,000)	(115,099)	(185,000)	(15,000)	
Non Material Amendments	(3,200)	(2,500)	(1,757)	(3,400)	(900)	
Monitoring of Mineral Sites	0	(1,000)	0	0	1,000	
Discharge of Conditions	(7,383)	(6,000)	(2,627)	(5,000)	1,000	
	(288,121)	(285,900)	(224,078)	(329,894)	(43,994)	
Total	(349,528)	(333,500)	(257,175)	(377,525)	(44,025)	

**DARTMOOR NATIONAL PARK AUTHORITY
FEES AND CHARGES 2014/15**

Description of Charges Levied (or Donations suggested)	Unit	2014/15 Rates @ 20% £			Proposed 2015/16 Rates (VAT @ 20%) £		
		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)
Administration							
Photocopying - Black and White (charges for sizes over A3 as for plans below)	A4 per side	0.17	0.03	0.20	0.21	0.04	0.25
	A3 per side	0.17	0.03	0.20	0.21	0.04	0.25
Photocopying - Colour (charges for sizes over A3 as for plans below)	A4 per side	0.29	0.06	0.35	0.33	0.07	0.40
	A3 per side	0.29	0.06	0.35	0.33	0.07	0.40
Plan Copying – Colour (subject to copyright)	A4 per side	0.29	0.06	0.35	0.33	0.07	0.40
	A3 per side	0.29	0.06	0.35	0.33	0.07	0.40
	A2 per side	0.58	0.12	0.70	0.63	0.13	0.75
	A1 per side	1.04	0.21	1.25	1.08	0.22	1.30
	A0 per side	2.00	0.40	2.40	2.04	0.41	2.45
NB: Copying charges that total less than £1 will be waived							
Microfilm Copying		As photocopying			As photocopying		
Private Telephone Calls		Actual time			Actual time		
Private Faxes		Actual time			Actual time		
Development Management							
Planning Application Fees		See "Government Scale Charges"			See "Government Scale Charges"		
Copy of Section 52/106 Agreement		Charge per page in scale of photocopying charges above subject to maximum charge of £10.00 (inc VAT)			Charge per page in scale of photocopying charges above subject to maximum charge of £10.00 (inc VAT)		
Copy of Decision Notice							
Copy of Enforcement Notice							
Copy of Appeal Decisions							
Copy of Appeal Statement							
Copy of Tree Preservation Order		112.50 22.50 135.00			112.50 22.50 135.00		
Copy of Weekly List (annual subscription)							
Planning Search		10.00 2.00 12.00			10.00 2.00 12.00		
All postal requests carry a minimum £2 postage/administration charge. Actual postage will be charged if in excess of £2		1.67 0.33 2.00			1.67 0.33 2.00		

**DARTMOOR NATIONAL PARK AUTHORITY
FEES AND CHARGES 2014/15**

Description of Charges Levied (or Donations suggested)	Unit	2014/15 Rates @ 20% £			Proposed 2015/16 Rates (VAT @ 20%) £			
		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)	
Authority		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)	
Agenda – Copies of Minutes/Reports/One off requests		Charge per page (inc VAT)			Charge per page (inc VAT)			
Meeting Room Hire		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)	
Parke								
Meeting Room	Half Day (up to 4 hrs)	75.00	EXE	75.00	75.00	EXE	75.00	
	All Day (over 4 hrs)	150.00	EXE	150.00	150.00	EXE	150.00	
	Refreshments per delegate:							
	1st serving	1.25	0.25	1.50	1.67	0.33	2.00	
	2nd serving	0.83	0.17	1.00	1.25	0.25	1.50	
Cancellation charges	Notice of cancellation of 48 hours or more	No Charge			No Charge			
	Notice of cancellation 24 to 48 hours	50% Charge			50% Charge			
	Notice of cancellation less than 24 hours	Full Charge			Full Charge			
High Moorland Office		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)	
Room 1	1 hour	15.00	EXE	15.00	15.00	EXE	15.00	
	Half Day (up to 4 hrs)	40.00	EXE	40.00	40.00	EXE	40.00	
	All Day (over 4 hrs)	65.00	EXE	65.00	65.00	EXE	65.00	
	Evening Room Hire (per hour)		N/A			N/A		
	Refreshments per delegate:							
	1st serving	1.25	0.25	1.50	1.67	0.33	2.00	
2nd serving	0.83	0.17	1.00	1.25	0.25	1.50		
Honesty Cairns (Donations)		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)	
Cars		2.00	OOS	2.00	2.00	OOS	2.00	
Coaches		5.00	OOS	5.00	5.00	OOS	5.00	
Car Parking at Princetown								
Cars - Per Day (24 hours)		0.83	0.17	1.00	1.67	0.33	2.00	
Cars - Per half Day (up to 3 hours)					0.83	0.17	1.00	
Coaches - Per Day		3.33	0.67	4.00	4.17	0.83	5.00	

**DARTMOOR NATIONAL PARK AUTHORITY
FEES AND CHARGES 2014/15**

Description of Charges Levied (or Donations suggested)		Unit	2014/15 Rates @ 20% £			Proposed 2015/16 Rates (VAT @ 20%) £		
			NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)
Woodlands			NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)
Cordwood		Trailer load	All forestry products to be sold at current market rates (plus VAT)			All forestry products to be sold at current market rates (plus VAT)		
		Cubic metre						
Chippings		Bag						
Sign Arms (fingers) (Minimum 10 boards)	Single	420 x 114 x 21mm	5.00	1.00	6.00	5.00	1.00	6.00
	Single	530 x 114 x 21mm	5.40	1.08	6.48	5.40	1.08	6.48
	Single	710 x 114 x 21mm	7.00	1.40	8.40	7.00	1.40	8.40
	Double	1320 x 114 x 21mm	15.40	3.08	18.48	15.40	3.08	18.48
	Single	760 x 171 x 21mm	9.50	1.90	11.40	9.50	1.90	11.40
	Double	1370 x 171 x 21mm	17.50	3.50	21.00	17.50	3.50	21.00
Signboards (Minimum 10 boards)	A	530 x 80 x 21mm	4.30	0.86	5.16	4.30	0.86	5.16
	B	400 x 300 x 21mm	17.00	3.40	20.40	17.00	3.40	20.40
	C	600 x 300 x 21mm	22.00	4.40	26.40	22.00	4.40	26.40
	D	300 x 200 x 21mm	5.75	1.15	6.90	5.75	1.15	6.90
	E	600 x 200 x 21mm	10.25	2.05	12.30	10.25	2.05	12.30
Guided Walks and Education Walks			NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)
Guided Walks		Adult	5.00	EXE	5.00	5.00	EXE	5.00
		14 years & under	FREE OF CHARGE			FREE OF CHARGE		
Children's Activities		Children (accompanying adult free)	4.00	EXE	4.00	4.00	EXE	4.00
Private talks		Higher Uppacott - per group (max 20)	40.00	EXE	40.00	60.00	EXE	60.00
Education Walks		Walks up to 3 hours (per guide = 25 children)	50.00	EXE	50.00	55.00	EXE	55.00
		Walks up to 6 hours (per guide = 25 children)	60.00	EXE	60.00	70.00	EXE	70.00
Ranger Ralph		Annual subscription (per child)	5.00	ZERO	5.00	6.00	ZERO	6.00
		Events	FREE OF CHARGE			FREE OF CHARGE		
Higher Uppacott		Bespoke Events	Delegated to Director of Conservation and Communities			Delegated to Director of Conservation and Communities		

**DARTMOOR NATIONAL PARK AUTHORITY
FEES AND CHARGES 2014/15**

Description of Charges Levied (or Donations suggested)	Unit	2014/15 Rates @ 20% £			Proposed 2015/16 Rates (VAT @ 20%) £		
		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)
Legal Services		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)
Public Path Orders:		See Below			See Below		
Public path orders: Advertisements x 2	Per advert	£850.00 plus advertising costs (plus VAT)			£850.00 plus advertising costs (plus VAT)		
Preparing order, all officer time, administration, postage, legal costs, site visits, notices, negotiations with users etc	Unopposed orders	£300.00 plus advertising costs (plus VAT)			£300.00 plus advertising costs (plus VAT)		
	Additional orders linked to above	£1,000 - £2,000 plus advertising costs (plus VAT)			£1,000 - £2,000 plus advertising costs (plus VAT)		
	Opposed orders	£500.00 plus advertising costs (plus VAT)			£500.00 plus advertising costs (plus VAT)		
	Temporary closures	£50 per hour + Advertising costs + VAT (minimum charge £250)			£50 per hour + Advertising costs + VAT (minimum charge £250)		
Extending a Temporary closure & submission to Secretary of State							
Legal charges	Per hour	80-140	OOS	80-140	80-140	OOS	80-140
Copy / Inspection of Deeds or Documents (held in secure storage)	Per document	37.50	7.50	45.00	37.50	7.50	45.00
Section 106 agreements	Per hour	£80-£140 per hour (Minimum £160)			£80-£140 per hour (Minimum £160)		
Certification of a document	Per document	4.17	0.83	5.00	4.17	0.83	5.00
Supply data to:	Non Public Body	40.00	8.00	48.00	40.00	8.00	48.00
Environmental Information Regulations		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)
Disbursement Costs:							
Photocopying - Black and White (charges for sizes over A3 as for plans below)	A4 per side	0.17	0.03	0.20	0.21	0.04	0.25
	A3 per side	0.17	0.03	0.20	0.21	0.04	0.25
Photocopying - Colour (charges for sizes over A3 as for plans below)	A4 per side	0.29	0.06	0.35	0.33	0.07	0.40
	A3 per side	0.29	0.06	0.35	0.33	0.07	0.40
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	A3 per side	0.29	0.06	0.35	0.33	0.07	0.40
	A2 per side	0.58	0.12	0.70	0.63	0.13	0.75
	A1 per side	1.04	0.21	1.25	1.08	0.22	1.30
	A0 per side	2.00	0.40	2.40	2.04	0.41	2.45
Microfilm Copying		As photocopying			As photocopying		
Staff Time: For every members of staff or agency staff involved in considering or dealing with a request for information	Search for Information. Identification & location of information. Retrieval of information. Copying of information. Collating & despatching of information.	£25 per hour (pro rata) VAT will only be charged if the information could Be obtained elsewhere			£25 per hour (pro rata) VAT will only be charged if the information could Be obtained elsewhere		

**DARTMOOR NATIONAL PARK AUTHORITY
FEES AND CHARGES 2014/15**

Description of Charges Levied (or Donations suggested)	Unit	2014/15 Rates @ 20% £			Proposed 2015/16 Rates (VAT @ 20%) £		
		NET (£)	VAT (£)	GROSS (£)	NET (£)	VAT (£)	GROSS (£)
Miscellaneous							
Filming Charges: Location Fees for Stills		Minimum £100 (plus VAT)			Minimum £100 (plus VAT)		
Filming Charges: Location Fees for Film		See below			See below		
Educational, students, or films that are promoting NPA messages		FREE OF CHARGE			FREE OF CHARGE		
Ranger/Officer's fees (if presence required on site)		Minimum fee is £150 per 1/2 day inclusive of VAT (charges to include travelling time). The fee may be increased to cover additional demands.			Minimum fee is £160 per 1/2 day inclusive of VAT (charges to include travelling time). The fee may be increased to cover additional demands.		
Small commercial films (minimum charge)		500.00	100.00	600.00	500.00	100.00	600.00
Feature films (minimum charge)	Daily fee plus officer time based on half day rate as above	2500.00	500.00	3,000.00	2500.00	500.00	3,000.00
Television/large scale advertising campaigns (minimum charge)	Daily fee plus officer time based on half day rate as above	1000.00	200.00	1,200.00	1000.00	200.00	1,200.00
Closure of car parks for filming, large scale or other events (minimum charge)	Low season	150.00	30.00	180.00	150.00	30.00	180.00
	High season	300.00	60.00	360.00	300.00	60.00	360.00
Creation of maps for external bodies (GIS)	Fixed cost based on half day	41.67	8.33	50.00	41.67	8.33	50.00
	Hourly rate above half day	16.67	3.33	20.00	16.67	3.33	20.00
Gateway Repair	Per Gateway (per hour - minimum 2hrs)	20.50	4.10	24.60	45.00	9.00	54.00
	Drilling/Glueing per fixing	5.00	1.00	6.00	20.00	4.00	24.00
	Fittings	5.00	1.00	6.00	6.00	1.20	7.20
Gateposts	Repair per post - or individually priced	20.50	4.10	24.60	75.00	15.00	90.00
	Replacement - plus cost of commercially sourced post	100.00	20.00	120.00	75.00	15.00	90.00
Stonewalling courses	Per person per 5 day course	220.00	EXE	220.00	No longer run due to cuts		
Hedgelaying courses	Per person per 2 day course	120.00	EXE	120.00	No longer run due to cuts		

DARTMOOR NATIONAL PARK AUTHORITY

AUDIT & GOVERNANCE COMMITTEE

21 November 2014

RISK MANAGEMENT AND STRATEGIC RISK REGISTER

Report of the Head of resources

Recommendation: **That Members:**

- (i) note the content of the report;**
- (ii) review and approve the Strategic Risk Register attached at Appendix 1, subject to any amendments Members may suggest; and**
- (iii) recommend the frequency that this committee should review the Strategic Risk Register.**

1 Background

- 1.1 The Authority approved the current Risk Management Policy at its meeting on 16 May 2014 after a thorough review had been undertaken by Leadership Team. 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.
- 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

2 The Risk Environment

- 2.1 The public sector is changing rapidly and evolving constantly; the challenges and resulting risks include:
- Reduced funding
 - Reduced resources
 - Delivering more for less
 - Commissioning vs Delivery
 - Increased use of partnerships
 - Environmental & social issues

- 2.2 We need to understand the risks we face, we need to keep an eye on the future to identify potential risks; and we need to understand what our risk appetite is so that we can manage the risks we face appropriately.
- 2.3 We are aware that some risks will always exist, cannot be entirely eliminated and some are not within our control. Awareness, understanding and acceptance of risk is paramount. Sometimes we may decide to take a degree of risk to achieve an objective because we are facing significant challenges on a daily basis that require us to be more innovative and forward thinking than we are traditionally used to.
- 2.4 Risk awareness has remained embedded in day to day practice. The Strategic Risk Register is a working document that has been regularly reviewed by the Leadership Team and operational risks are included within Directorate, Service and work plans. The Parke House Project Management Framework also ensures that officers consider risk and the implications of their work.

3 Strategic Risk Register

- 3.1 As part of the Risk Management strategy it is important that Members review and approve the Strategic Risks for the Authority in order to raise issues for further consideration and highlight possible areas of risk for addition or deletion.
- 3.2 A review of the current risks facing the Authority has been undertaken by Leadership Team, and the current (working copy) Strategic Risk Register is attached at Appendix 1. The current risk rating has been colour coded as follows: 0 – 9 = Green; 10 – 19 = Yellow and 20 – 25 = Red. The higher the number the higher the risk.
- 3.3 Members are invited to discuss and approve the register, subject to any amendments Members may wish to make.
- 3.4 The Chairman of this Committee, John Nutley, Philip Vogel and myself attended an Audit Committee training event run by the Devon Audit Partnership last month. Risk Management and the visibility of an Authority's Strategic Risk Register (the Register) was a recurring theme. This Committee has previously decided that the Register should be formally reviewed by the Committee annually. The Chairman of Audit and Governance Committee will provide feedback on the training received. In light of this feedback I would invite Members to discuss the review and reporting of the Register and give direction as to the frequency of its review at this Committee in future.
- 3.5 Members are also invited to consider whether there should be a specific entry on the risk register pertaining to the UK National Parks Conference that the Authority agreed to host in October 2015. The conference organisation team is considering individual risks associated with the event but there is an overall cumulative risk to the Authority in terms of Finance and reputation.

DONNA HEALY

Background Papers: NPA/AG/13/013, NPA/AG/13/023, NPA/AG/14 045

Attachments: Appendix 1 – Strategic Risk Register 2014/15

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 Dis-engaged staff create a poor impression of DNPA when in-contact with the public and our stakeholders</p>	<p>Leadership Team meets weekly every Monday morning for a quick communication catch up. Messages are then disseminated as appropriate. Key messages are reported in regular 'In Touch' newsletter, supplemented by specific newsletters as required.</p> <p>Monday Message is a regular communication tool from Chief Executive to all staff and Members "Golden thread" linking Management Plan, Business plan and Directorate plans with individual appraisals. Annual all staff training day. Regular all staff meetings and service team meetings Intranet & website Regular briefings to Members and two officer/Member working panels</p>	2	4	8
Additional control measures planned					
Communication Strategy addresses internal communication and will support staff and members to be better at communication. Communication methods constantly reviewed and mixture of written and face to face utilised. NPAPA assessment emphasised the need to "close the loop" and provide feedback on decisions taken and why. Leadership Team will keep a focus on this issue.					
Resources required: Staff & Member time is needed to participate fully					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8

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

Outcome

Ensure staff are able to contribute and feel valued

Staff and members are ambassadors for the organisation

Promote full understanding and ownership of the Authority's work, priorities and change agenda

Develop a better understanding of the Authority and its work

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 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 the value of DNPA and the work it does Confusion with other organisations Projects not supported as no 'buy-in' from stakeholders</p>	<p>Communications strategy written; picks up organisational 'narrative' and plan to deliver improved two-way communications with our key audiences. Supporting communication tools include: Media briefings & releases. Authority publications. Authority Website Variety of forums Social media and targeted e-newsletters Surveys</p>	3	3	9
Additional control measures planned					
<p>Communications & Community engagement are priorities for the Authority. A communications strategy has been developed to address a clearer, more strategic approach to organisational communications as well as supporting staff and members to engage in two-way communications with their key audiences. This will be implemented over the next two years. NPAPA assessment recommended utilisation of multiple media avenues to reach maximum audience. This is being implemented. Residents' survey undertaken in 2013 and outcomes have been used to improve communication with local communities Increased presence at Parish meetings and local special interest groups.</p>					
Resources required: Staff time will be needed to communicate and engage with local residents and prepare materials					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Outcome

A greater understanding of what DNPA does in relation to Dartmoor the place, so people value and support the work we do

A good reputation as an organisation that listens and understands

Excellent relationships with our communities and stakeholders

Promoting understanding and enjoyment of Dartmoor's special qualities

Ensure staff are able to contribute and feel valued

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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 Continuous business efficiency in the event of systems failure or major emergency affecting operational buildings					

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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
P4	Inadequate focus on Performance Management				
	<p>Consequence if no action</p> <p>Individual and organisational performance not monitored. Low achieving Authority Unclear targets and objectives. Resources not targeted</p>	<p>Business Plan & Annual Review Directorate/Service planning VfM Reviews (focus on Public Rights of Way Service Level Agreement in 2014/15) Audit & Governance Committee established with clear remit to monitor and challenge performance. New suite of PIs introduced to provide greater range that are focused on delivering against the Business Plan Parke House Project Management introduced, supported by "Project Makers" and staff trained</p>	2	3	6
Additional control measures planned					
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 Project Management Training - ongoing					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
Good performing organisation, with evidence of continuous improvement					

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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					
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>Planners need to be realistic about time scale on framework, particularly if legal work is required.</p> <p>Government change to threshold of determining 40% of majors in time now in place.</p>	2	4	8
Additional control measures planned					
Monitoring of the effectiveness of this control mechanism					
Resources required: Staff time					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	1	4
Outcome					
Major applications are dealt with in a timely way The performance agreement will allow time to be taken to achieve a quality outcome					

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

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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.</p> <p>Possible restrictions on access imposed as a result of outbreaks of disease</p> <p>Denial of access to key premises resulting in major disruption to service delivery.</p> <p>Financial – increased cost of provision of alternative working locations.</p>	<p>Emergency Planning.</p> <p>Close working relationship with police and other emergency services</p> <p>Staff awareness training (induction training).</p> <p>ICT Disaster Recovery plan H&S and Fire Regulations</p> <p>Alternate venues/home working available in the event of loss of office accommodation.</p> <p>Robust maintenance programme and risk assessments for operational property</p> <p>Establish a Community Safety Accreditation Scheme with Devon & Cornwall Police</p>	2	4	8
Additional control measures planned					
This is a risk which it is difficult to control, but is considered relatively low risk IDOX project to scan central filing system will improve access and reduce risk of loss of data					
Resources required:					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
Business continuity in the event of an emergency affecting business premises Effective and appropriate use of DNPA's resources in other emergencies affecting the National Park					

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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</p> <p>Business Plan, Directorate Plans, Appraisal and review process – identifying clear priorities and work programmes</p> <p>Effective management of organisational change. Good internal communications/staff survey/feedback channels/liaison with representatives. Support to Managers and focus on developing management skills</p> <p>Proactive attendance management; provision of Employee Assistance Programme; OH service</p>	5	4	20
Additional control measures planned					
<p>This will remain an area of risk as the Authority continues to adapt following reductions in its workforce. Need to be clear on priorities and ensure business processes are supportive</p> <p>Staffing and structure review to be undertaken in 2014/15 in response to further funding cuts</p> <p>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.</p> <p>Provision of the Project fund within the budget to enable Officers to make in-year bids for to buy-in additional resource.</p>					
Resources required: Staff time and resources to deliver an effective programme. May need external support – can be funded via the Project Fund					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			5	3	15

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Outcome

Well informed, motivated workforce

Effective leadership

Appropriately supported and trained staff

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 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.				
	<p>Consequence if no action</p> <p>High stress levels Poor performance Increase in complaints Reduced quality of work Contracts and obligations not fulfilled</p>	<p>Consolidation of structures to reduce duplication Business Plan, Directorate Plans, Appraisal and review process – identifying clear priorities and work programmes; effective performance management. Good internal communications Support to Managers and focus on developing management skills</p> <p>Use of the unallocated Project Fund to bring in extra capacity when required</p> <p>Clear priorities through the Business Plan and appraisal processes</p>	5	4	20
Additional control measures planned					
<p>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'.</p> <p>Need to be clear on priorities and ensure business processes are supportive</p> <p>Potential for increased risk with staffing and structure review and further changes to roles and responsibilities</p>					
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

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 2014/15

Outcome

Well informed, motivated workforce

Effective leadership

Appropriately supported and trained staff

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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
F1	Potential for further reductions in National Park Grant (NPG) in subsequent financial years.				
	<p>Consequence if no action</p> <p>Insufficient funds to meet statutory requirements and delivery of National Park Purposes. Failure to meet Performance Targets</p>	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 – this is likely to continue into the next Parliament.	5	5	25
Additional control measures planned					
<p>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 and will be under continual review. Use of Authority reserves to balance the future budgets and MTFP is considered via the budget setting process. Seek opportunities for alternative funding streams, fees, charges and sponsorship and alternative delivery methods and partnership working</p>					
Resources required: Officer time and external HR Support					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			5	3	15
Outcome					
<p>Focused organisation with resources targeted to agreed priorities Reduced reliance on NPG</p>					

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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 Training for staff in financial management</p>	2	4	8
Additional control measures planned					
On-going training for staff in financial management					
Capacity issues are recognised and extra support is brought in to progress work programmes					
Resources required: Staff time and training resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			1	4	4
Outcome					
Financial outturn on target					

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DARTMOOR NATIONAL PARK AUTHORITY STRATEGIC RISK REGISTER 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 review all appeal files External legal advice and support obtained where necessary Priority area of work for legal team and development management team Regular reports to Director of Planning Good Practice Guide for Members and officers (planning) Enforcement Policy</p>	2	4	8
Additional control measures planned					
<p>Review PR Strategy for these cases, particularly with parish councils Procure expert input when necessary Clear project management arrangements for high profile cases Clear operational procedures to support Enforcement Policy</p>					
Resources required: Staff time and financial resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
<p>All decisions are lawful, in accordance with advice and can be supported on appeal Public confidence in decisions Minimise payment of costs</p>					

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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
F4	Heritage Lottery Fund Landscape Partnership programme: risk to the Authority as lead partners regarding cashflow and reputation				
	<p>Consequence if no action</p> <p>Reputational damage if the scheme is not delivered on time and to budget</p> <p>Potential cashflow issues for the Authority if the scheme is not delivered on time and to budget</p> <p>Reputational issues for the Authority as lead partners if local community not engaged and supportive of all schemes</p>	<p>Continued dialogue through regular monitoring meetings with Project Board and HLF to share project and risk management</p> <p>Agreed Communications plan to be implemented</p> <p>Some slippage is likely over the 5 year period, need to ensure implications are discussed and revisions agreed with Board and partners.</p> <p>Scheme Manager appointed with strong project management experience</p>	3	5	15
Additional control measures planned					
Scheme Manager to focus on strategic delivery of the project – to include finance and performance management. Changes and risk to delivery identified early. Risk to be continually monitored. Role of Project Board is strategic					
Resources required: Staff time and financial resources					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	5	10
Outcome					
Successful delivery of the scheme and prompt action when slippage or new risk identified.					

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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					
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 Contractor Vetting Insurance Financial Regulations / Standing Orders. Sustainable procurement policy Procurement procedures Staff training on procurement rules and procedures Project Management Training</p>	3	4	12
Additional control measures planned					
On-going staff training on procurement rules and procedures and Project Management					
Resources required					
Staff time and potentially resources if purchasing is to adopt more sustainable principles					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	3	6
Outcome					
All procurement undertaken within policies, procedures & legislation					

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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>	Risk Assessments. Standing Orders. Financial Regulations. Internal/External Audit. External partners' controls Parke House Project Management implemented, supported by Project makers to ensure it is part of the culture of the organisation. Embedded link between project management and personal performance management via appraisals, workplans and the Business Plan. Performance monitoring - Business Plan and Project Management monitoring tool reviewed by Leadership Team	3	4	12
Additional control measures planned					
Ongoing monitoring of compliance with procedures and staff training.					
Resources required: Staff time, particularly from Legal and Financial services and "Project Makers" (project management champions)					
Planned Residual Risk			Probability (5=high, 1=low)	Severity (5=high, 1=low)	Planned Residual Risk Rating
			2	4	8
Outcome					
Robust, well managed partnerships and projects that help to deliver Business Plan and National Park Management Plan objectives					

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9

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

Red = Cause for Concern – scores 20-25

Yellow = Needs Attention – scores 10-19

Green = Ok – scores 0-9