

Report of the Performance and Compliance Officer

Subject: Assurance Monitoring Report – Compliance, Public and Statutory Duties and Corporate Improvement

Introduction

The aim of this report is for it to act as one element of our risk management approach and support officers and Members in monitoring, assessing and responding to compliance and corporate improvement areas of work. This should help strengthen and in the future feed into Second Line Internal Assurance within the risk register.

This report is still in its development phase, with further work needed on developing and reviewing triggers, putting in additional monitoring for some areas and looking at how it can support and feed into Second Line Internal Assurance within the risk register. We will look to engage with our internal auditors to identify how we can improve and further develop this report, our assurance monitoring and triggers. Further engagement work will also be carried out with compliance leads for different areas.

The aim of the report is to review our current performance across the following compliance, public and statutory duties and corporate improvement areas:

- Governance
- Finance (Please note: Further information on finance performance is provided through budget reports and finance related audit.)
- Sustainability, Section 6 Biodiversity Duty, Net Zero, Socially Responsible Procurement Duty
- Welsh Language
- Public Sector Equality and Socio Economic Duties, Child Poverty
- Safeguarding
- Information Governance, Data Protection and Cyber Security
- Workforce, Health and Safety, Social Partnership Duty (Please note: Currently a separate report is provided on Health and Safety.)
- Planning

It provides resilience scores on:

- Accountability Documentation
- Incidents, engagement with regulators, complaints, monitoring
- Culture and Implementation

Resilience Score		
Vulnerable	Of concern	Resilient

A range of additional information is recorded on the Authority's performance reporting system. Where tolerance levels or triggers have been reached resulting in Vulnerable or Of concern resilience score additional information has been included in relevant section of the report and management response provided.

This report also outlines progress against corporate improvement areas identified within Annual Governance Statement and Authority's Delivery Plans.

This report is supplemented by internal audit activities with agreed actions from audits monitored via the Audit Action Log.

The reporting period is for the end of quarter 1 2024/25 (June 30)

Planning Statistics

Following upgrade to planning system work is currently being undertaken to update/develop associated dashboards/ reports from system for planning data. As a result, figures were not available for consideration when producing this assurance report.

Activities to improve resilience scores

Staff have been proactively working to respond to new obligation placed on the Authority in terms of Social Partnership and Public Procurement (Wales) Act 2023. Activities in quarter 1 has meant that some areas have moved from Of Concern to Resilient due to proactive work in this area. Head of Decarbonisation and Head of Finance and Fundraising with support from Performance and Compliance Officer have drafted a Socially Responsible Procurement Strategy, this will go out to Member/ staff consultation prior to approval. Alongside this a review of Sustainable Procurement policy has been undertaken which will be renamed to Socially Responsible and Sustainable Procurement Policy. Chief Executive Officer, Head of People Services and Performance and Compliance Officer have met to discuss social partnership duty. A draft Social Partnership Duty Commitment Standards has been developed following this meeting. A meeting is to be arranged with Unison to discuss it, with aim that the standards will also go to staff reps and People Services Committee for comment prior to approval.

Work is continuing to move corporate policies into new template with improved version control and subject them to more detailed review where required ready for publication in the new Corporate Policy Hub section of staff intranet. First large batch of updated policies uploaded in June.

Significant work has been undertaken in terms of reviewing and updating Risk Assessments with approximately 90% completed.

Safeguarding meeting held on the 15 July to discuss outstanding internal audit items and assurance considerations and timescales for completion of this work.

Decarbonisation team have been progressing work on development of fleet decarbonisation action plan.

A Record Management Group is in place and is monitoring a range of record management activities linked to accountability documentation, movement of files to new organisation structure on the F/Drive and record management considerations linked to Teams/ Sharepoint. One aspect of the role of this group is to provide space to problem solve potential issues as they arise. The Authority's Data Protection Officer sits on this group. Some activities under this groups remit have been impacted by staff capacity and competing priorities.

RECOMMENDATION:

Members are requested to RECEIVE and COMMENT on the Assurance Monitoring Report.

Assurance Monitoring - Compliance, Public and Statutory Duties and Corporate Improvement

This is supplemented by internal audit activities with agreed actions from audits monitored via the Audit Action Log.

Reporting Period: End of June 2024/25

Resilience Score		
Vulnerable	Of Concern	Resilient

A range of additional information is recorded on the Authority's performance reporting system. Where tolerance levels or triggers have been reached resulting in Vulnerable or Of Concern resilience score additional information has been included in relevant section and management response provided.

This report also outlines progress against corporate improvement areas identified within Annual Governance Statement and Authority's Delivery Plans.

1. Governance

Resilience Area		Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
AD	Accountability Documentation	Of Concern [1 Trigger]	Of Concern [1 Trigger]
IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Vulnerable [1 Trigger]	Resilient [0 Trigger]
		Of Concern [1 Trigger]	
CI	Culture/ Implementation	Of Concern [1 Trigger]	Of Concern [1 Trigger]
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response	
AD	Not all current policies available to staff on staff intranet. [1 Trigger]	Transitioning from old parcnet to new Sharepoint intranet site. All policies etc. being subject to light touch review/ or more in depth review as part of this process and moved into new template with improved date/version control. Once this work has completed all current policies will be available to staff in Corporate Policy section of the new intranet site. First large batch of updated policies uploaded in June.	
CI	% Member attendance at training ytd below 65% target at 57.69% ytd at end of Q1 and within Of concern threshold. [1 Trigger]	Issue to be discussed at next People Services Committee, to explore how to increase attendance rates.	
Ref	AGS and Delivery Plan Actions	RAG Status	Progress Commentary
G20	Finalise set of revised values for the Authority. Carry out range of activities to embed Authority's new values.	Green	Progress Status: In Progress/ On Track Work to be completed over the next few months

G20	Review of integrated assessments template, information provided to Members and development of project checklist or other tools to reflect new priorities and to maintain compliance with relevant statutory duties.	Amber	Progress Status: In Progress/ Behind Work being undertaken to review trigger document and wider guidance on completing equality impact assessments as part of integrated assessments and on developing project checklist. Work has fallen behind due to officers other competing work commitments. Meeting has been arranged for July between Performance and Compliance Officer and Democratic Services team to look at sections required within Committee reports and relationship with assessments.
G20/ AGS	Corporate Improvement Project on Management and Communication of Corporate Policies, Procedures and Templates	Green	Progress Status: In Progress / On Track Following revised policies in new template/ version control uploaded to Corporate Policy Hub section of staff intranet: Health and Safety Policy (POL_HS1), ICT User Policy (POL_IG1), Bullying and Harassment Policy (POL_HR11), Drugs or Alcohol Misuse Policy (POL_HR14), Flexible Working Policy (POL_HR6) and Flexitime Scheme Policy (POL_HR17). Further work carried out to review and tidy items on the Corporate Policy Review Microsoft Teams channel to support document control and review activities.
AGS	Implement agreed recommendations from Audit Wales review of Governance	Green	Progress Status: In Progress / On Track Audit Wales gave presentation to NPA. Further work being undertaken on the response.
SD21	PDP for Members capture any skills gaps/ development opportunities linked to new priorities	Green	Progress Status: In Progress m / On Track Members' training needs sought, although only 8/18 Members provided this information. Training Plan presented to Member Support & Development Committee in April 2024

2. Finance

Further information and assurance on finance performance is provided through budget reports and finance related audit.

Resilience Area		Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
AD	Accountability Documentation	Of Concern [1 Trigger]	Of Concern [1 Trigger]

IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Triggers to be developed and agreed.		Triggers to be developed and agreed	
CI	Culture/ Implementation				
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response			
AD	Delay in signing off draft statement of accounts, did not meet regulation requirement for this to be completed by 31 May 2024. [1 Trigger]	Required statement made by Responsible Finance Officer and placed on Authority website. Statement noted that delay was due to “changes in key staff and a later audit timetable as notified by Audit Wales.” Within the expectations of Welsh Government, we aim to sign the draft 2023-24 statement of accounts by 31 July 2024 and Audit Wales certification by 30 November 2024.			
Ref	AGS and Delivery Plan Actions	RAG Status	Progress Commentary		
RBF22/ AGS	Continue to work with Members and Welsh Government to manage mid term financial challenges and pressures.	Green	Progress Status: In Progress / On Track Discussions held with Welsh Government officers on future funding models		
RBF22	Management Team members to carry out mid/long term financial mapping and scenario planning for Authority and departments to manage future deficits identified in 2024/25 budget planning.	Amber	Progress Status: In Progress/ Behind Income generation group have met further to discuss income generation ideas and cost saving strategies. Managers have undertaken work to identify impact of 25% less money over 2 years which has fed into work of income generation group.		
RBF22	Undertake a Zero Based Funding exercise to reallocate funding to key priorities and also identify funding gaps.	Amber	Progress Status: Not Started/ On Hold Autumn timeline. Managers have undertaken work to identify impact of 25% less money over 2 years which has fed into work of income generation group and will also feed into zero based funding exercise in the Autumn.		
RBF22	Review project identification/ prioritisation process for funding to align to new priorities and delivery plan funding gaps. Identify flagship/ landscape scale projects linked to actions within Delivery Plans.	Green	Progress Status: In Progress/ On Track EOI written for HLF project but after discussion, it was decided that the project was not suitable. Another meeting has been arranged for July to discuss Carew as a potential for the application. Wolfson Trust stage 1 application submitted for Carew Castle project. Awaiting decision for stage 2. Two Community Lottery funds identified for Roots 2 Recovery and Open to All / Access for All. WG application identified for child poverty, application due 14th July.		
RBF22	Review and identify commercial opportunities across all Authority activities	Green	Progress Status: In Progress/ Behind Utilising funding from Welsh Government the Authority has engaged		

	and assets and develop a commercial opportunity strategy with SMART set of measures.		a consultant to contribute to the generation of ideas and options to generate additional income. The consultant will engage with individuals across the Authority and will report during the year. Consultant arranging discussions with managers and staff and meetings of Income Group discussing options.
RBF23	Additional Marketing Support for Centres – Contract for specialist marketing support (Funded – 10K for 2024-25)	Green	Progress Status: In Progress/ On Track Funding used to support the filming and production of three promotional films for the visitor attractions - work is underway on final edits, ahead of promoting the films during the second half of the year.
RBF23	Development and delivery of fundraising strategy.	Green	Progress Status: In Progress/ On Track Draft strategy completed. Continuing to work with staff members across the park in supporting income diversification to meet the needs highlighted on the management plans.

3. Sustainability / Section 6 Biodiversity Duty / Net Zero / Socially Responsible Procurement

Resilience Area		Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
AD	Accountability Documentation	Vulnerable [2 Trigger]	Vulnerable [1 Trigger]
		Of Concern [4 Triggers]	Of Concern [2 Trigger]
IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Vulnerable [1 Trigger]	Resilient [0 Triggers]
		Of Concern [1 Trigger]	
CI	Culture/ Implementation	N/A	Triggers to be developed and agreed.
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response	
AD	No Estates/ Asset Management Strategy in Place. Identified by Internal Audit. Asset Ma [1 Trigger]	Agreed action monitored via internal audit action log and also action within Delivery Plan. Asset Management policy in place although not reviewed for 4 years. Expected to be progressed later in 2024.	
AD	Asset Management Policy last reviewed in 2018 [1Trigger]	Policy to be reviewed, as part of wider review of policies and movement into new templates. Work being led by head of decarbonisation. Wider work on Asset Management Strategy may also influence review of policy.	
AD	Fleet decarbonisation plan not in place. Moved from	WGES resource secured to focus on high-level fleet strategy. Decarbonisation Team have	

	Vulnerable to Of Concern as although no decarbonisation plan is in place an operational phase II fleet decarbonisation plan is ready for internal consultation. [1 Trigger]	developed a more operational Phase II fleet decarbonisation plan which is now ready for internal consultation.	
Ref	AGS and Delivery Plan Actions	RAG Status	Progress Commentary
D5	Net Zero Welsh Government Reporting – Recording, analysis, submission and improvements in data collection/ recording.	Green	Progress Status: In Progress/ On Track Staging of data and near-real time availability facilitated delivery of reporting by 28th June, supplied for peer review WB 8th July. Peer review expanded to both PCC and Bannau Brycheiniog. Modest increase in reporting tiers for some minor emissions sources. Significant room for improvement identified for Supply Chain reporting. Staffing resilience demonstrated within reporting group. Near-real time data available for: Fleet - inclusive of emissions ascription to individual fleet vehicles; EV Charging; Facilities Energy Consumption (sites with smart meters only); Building Occupancy; Waste (Llanion only pilot). Data recording and analysis improvements has informed future emissions reduction interventions and allowed for quantitative modelling of outcomes to prioritise work.
G20	Updating of Section 6 Biodiversity Signposting document and raising awareness and understanding of duty as part of this process.	Green	Progress Status: In Progress/ On Track Section 6 signposting document updated and provided to Management Team for comment and to ask if wider staff consultation needed prior to going for approval. Management Team have suggested that consultation should happen with staff to help raise awareness of duty and document. Consideration is needed as whether further amendments may be needed in terms of any changes to the Partnership Plan (when agreed) as part of review and how to align approval process with it.
G20	Review of Authority's Asset Management/ Estates Strategy – to align it with our new objectives/ priorities. Including considerations	Amber	Progress Status: Not Started/ On Hold Not started yet.

	around acquisitions for carbon sequestration.		
SD21	Ongoing Members Training Climate Adaptation	Green	Progress Status: In Progress/ On Track Initial training undertaken in Dec 2023. Have received presentation on Newgale adaptation early 2024. No additional training identified as a requirement beyond these at present.
AGS 2024/25	Procurement processes / Socially Responsible Procurement - Review of procurement approach and processes to take account of legal changes at Welsh and UK Government level and challenges of decarbonisation.	Green	Draft Socially Responsible Procurement Strategy completed and initial review of Sustainable procurement policy complete (will be renamed to Socially Responsible Procurement and Sustainable procurement policy). Both draft documents to go to Management Team in July for comment, prior to Staff/ Member consultation. External legal advice to be sought in terms of review of Contracting Standing Orders due to legal nature of document and impact of changes to UK procurement laws. Waiting for quote and confirmation of scope of work for rewrite of CSOs in late Autumn. These will tie into the Sustainable Procurement Policy and Strategy.

4. Welsh Language

Resilience Area		Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
AD	Accountability Documentation	Of Concern [1 Trigger]	Of Concern [1 Trigger]
IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Vulnerable [1 Trigger]	Resilient [0 Trigger]
CI	Culture/ Implementation	Triggers to be developed and agreed.	Triggers to be developed and agreed.
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response	
AD	No Date on Welsh Language Policy - not clear when last reviewed. [1 Trigger]	Will be moved into new template with improved version control. Democratic Services Manager will be asked to review it as part of this process.	

5. Public Sector Equality and Socio-Economic Duties/ Child Poverty

Resilience Area		Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
AD	Accountability Documentation	Of Concern [1 Trigger]	Resilient [0 Triggers]

IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Of Concern [1 Trigger]	Of Concern [1 Trigger]
CI	Culture/ Implementation	Triggers to be developed and agreed	Triggers to be developed and agreed
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response	
IRCM	Equality monitoring data for staff held on HR system: Within of concern threshold at 69.86%. Small fall seen between Q4 2023/24 and Q1 2024/25. [1 Trigger]	Although small fall seen between Q4 2023/24 and Q1 2024/25 overall Authority has seen gradual improvement each quarter in terms of equality monitoring data provided since significant fall when HR system was changed Updates to HR system for equality monitoring section planned and further communication will be sent out to staff following changes to encourage them to update their information.	
Ref	AGS and Delivery Plan Actions	RAG Status	Progress Commentary
G20	Review of Equality Plan and Objectives	Green	Progress Status: In Progress/ On Track. Workshop held in February with relevant Officer to look at current Objectives and actions under them and assess progress to inform review of equality plan. Work on Equality Impact Assessment on NPMP document for consultation will be used to inform review of Plan alongside PCC new equality strategy and objectives (and supporting documents.) Further work to be carried out in July/ August with aim that draft plan for consultation goes to September NPA.

6. Safeguarding

Resilience Area		Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
AD	Accountability Documentation	Of Concern [1 Trigger]	Of Concern [2Trigger]
IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Resilient [0 Triggers]	Resilient [0 Triggers]
CI	Culture/ Implementation	Resilient [0 Triggers]	Of Concern [1 Trigger]
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response	
AD	Outstanding internal audit action on Safeguarding policy and updated schedule on roles of staff/ volunteers in relation to safeguarding and DBS Checks needed following restructure. No Date on DSB Policy - not	Safeguarding Policy has been moved into new template, but review has not been finalised. Performance and Compliance Officer due to attend Safeguarding Group on 15 July, to develop timeframe with group to get outstanding internal audit items completed and policy updated and finalised for approval. HR is looking to amalgamate DBS policy into new recruitment	

	clear when last reviewed. [2 Triggers]	policy that is being developed. New policy will be in new template with version control and approval date information.
CI	Safeguarding Group haven't met in over 6 months. Group last met on 27 November.	Next meeting arranged for 15 July. Request to be made for quarterly meetings to be scheduled in annually in advance to ensure regular meetings are in place.

7. Information Governance / Data Protection / Cyber Security

Resilience Area		Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
AD	Accountability Documentation	Vulnerable [3 Triggers]	Vulnerable [3 Triggers]
		Of Concern [2 Triggers]	Of Concern [1 Trigger]
IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Of Concern [3 Triggers]	Of Concern [1 Trigger]
CI	Culture/ Implementation	Of Concern [2 Triggers]	Of Concern [2 Triggers]
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response	
AD	Internal Auditors identified several missed opportunities to complete a DPIA. [1 Trigger]	Further work is needed to remind Management Team Members/ Team Leaders of DPIA requirements and to get them to engage with process early on, particularly when they are developing work programmes/ projects involving third party data processors or partner organisations. Performance and Compliance Officer and DPO to look at how we can address this issue. DPIA to be added quarterly to Management Team meeting agenda. Revised IT Project request proforma being developed which also will help prompt completion of DPIAs where required.	
AD	Across Authority up to date retention schedule and records of processing needs to be put in place. [2 Triggers]	This activity has been affected by organisational restructure and impact on record management structures. Officer capacity has also been an issue due to competing priorities. Up to date retention schedule is to be developed as priority. Record of Processing will be aligned to new Authority Structure. Progress being monitored by record management group.	
AD	Publication Scheme significantly out of date and requires review. [1 Trigger]	Democratic Services Officer and Performance and Compliance Officer have met to kick start review. Have looked at format and approach taken by other local Authorities and will look to update and improve Corporate Document section pages of website as part of this process to make it easier for people to find information they need.	
IRCM	Two incidents reported internally in Q1 relating to system breaches involving	As two incidents happened in close proximity a meeting has been arranged for July to look at risks around data breaches in terms of third	

	third party data processors, risk assessed as low and as a result not reported to ICO. [1 Trigger]	party data processors and any further mitigating actions we need to put in place to help minimise risks, meeting to include DPO, Chief Executive, Head of Decarbonisation, IT Team Leader and Performance and Compliance Officer.	
CI	Cyber Security Training Completions at 74.8% and Data Protection Training Completions at 74.8% are within of concern threshold. [2 Triggers]	Following the internal audit we are going to carry out full review of Data Protection and Cyber Security Training to look at suitability of training provided, provision of training for all staff and Members and most effective system to use for delivery and monitoring. In the interim management team have been contacted with training status for their team and asked to liaise with relevant staff who have training outstanding. It is hoped this can develop into monthly process to help increase completion rates and has resulted in improvement in completions with data protection results now back up to over 80%. Those with outstanding Data Protection Refresher training should be receiving reminders weekly from the system.	
Ref	AGS and Delivery Plan Actions	RAG Status	Progress Commentary
DT29	Develop IT Action Plan into formal strategy (IT Infrastructure & Systems).	Green	Progress Status: In Progress/ On Track An IT action plan and ICT 3-year strategy has been written and is going to the Management Team for comment 9th July.
AGS	Approval of new ICT User Policy and Information and Data Security Policy.	Green	Progress Status: Complete/ On Track Revised ICT User Policy and Information and Data Security Policy approved by Members at May NPA. [Action Complete]
DT29	Review our Cyber Security Training offer and implement new training programme (Digital Skills)	Amber	Progress Status: Not Started/ On Hold Currently staff use Virtual DPO for NCSC Cyber Security Training. Reminders to be sent to staff for outstanding completions in July. A review of this training will form part of a wider piece of work looking at the Cyber Security of the National Park.
DT29	Audit Staff's Digital Skills and implement training Programme (Digital Skills)	Green	Progress Status: Not Started/ On Hold Staff have been completing wellbeing and training review which included questions on IT skills which will be looked at. One training session was delivery during May. 6 - 8 people attended.
AGS	Implementation of Microsoft 365 across the Authority.	Green	Progress Status: In Progress/ On Track

			Project progressing alongside the record management and processing work.
AGS/ DT29	Record Management Project - Implementation of actions to support improved information governance. Completion of restructure of F/Drive and Movement of Digital Files where needed to Teams/ Sharepoint.	Amber	Progress Status: In Progress/ Behind F Drive move for volunteering completed and discussed with them use of Teams. Easy win areas complete, now looking at more complex areas, with movement sessions arranged in coming months for Conservation, Access, Rangers and Learning and inclusion. Pre work required for Conservation moves.
DT29	Development of new business case process/ procedure for approval of new systems and apps. (Improving processes for IT resource requests.)	Green	Progress Status: In Progress/ On Track Began discussions with IT team leader. Draft proforma being developed.
DT29	Development of list of systems / licence requirements for each job role under new structure. Amend request to fill forms to take account of IT related costs for that job role (Improving processes for IT resource requests) .	Amber	Progress Status: In Progress/ Behind Discussions have begun with HR regarding leaver and starter processes. Action / measure identified in ICT strategy and action plan.
DT29	Ensure revised project development process takes account of full cost recovery/ cost implications tied to systems/ licence / IT related costs and any Web Accessibility or Welsh Language compliance issues. (Improving processes for IT resource requests)	Amber	Progress Status: Not Started/ On Hold Not started.

8. Workforce /Social Partnership Duty/ Health and Safety

Please note: Currently a separate report/ dashboard is provided on Health and Safety as a result resilience area triggers for health and safety have not been included in this report, except for RIDDOR incidents. Work will be undertaken with Health and Safety Project officer to explore inclusion of appropriate triggers in this document, without duplicating what is in the Health and Safety Dashboard/ Report.

Further work is also needed with People Services to align triggers with data reported at Human Resources Committee and to review mandatory training and monitoring requirements.

Resilience Area	Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
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AD	Accountability Documentation	Vulnerable [2 Triggers]	Vulnerable [2 Triggers]
		Of Concern [1 Trigger]	
IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Vulnerable [1 Trigger]	Resilient [0 Triggers]
		Further Triggers to be developed and agreed	Further Triggers to be developed and agreed
CI	Culture/ Implementation	Resilient [0 Triggers]	Resilient [0 Triggers]
		Further Triggers to be developed and agreed	Further Triggers to be developed and agreed
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response	
AD	Issues around poor document/ version controls for HR related Policies. A number of HR policies in need of review. Disciplinary Procedure significantly out of date in terms of when last reviewed. [2 Triggers]	Performance and Compliance Officer previously met with HR to identify current policies and procedures and prioritise them for review, with priority focus being given to high risk policies and those impacted by legislative change. A list has been developed that HR are working through, they are also utilising XpertHR to bring policies up to date and looking for opportunities to amalgamate policies where appropriate. HR Team are also holding regular policy review sessions which is supporting progression of this work. Wider work on improved document and version control is being applied to HR policies. First batch of revised HR policies have been uploaded to staff intranet new corporate policy hub, including ones that address changes in legislation. Grievance Procedure has been reviewed and updated.	
Ref	AGS and Delivery Plan Actions	RAG Status	Progress Commentary
DT29	Updating of induction process to reflect new priorities (Staff, Volunteers and Members induction.)	Amber	Progress Status: In Progress/ Behind Work is ongoing with the various stakeholders, and the views of existing staff, volunteers and members will be gathered to inform the process. This may be in the form of focus groups.
DT29	Implementing Management Team Development Programme	Green	Progress Status: In Progress/ On Track Individual training provided for managers and more to be included in the Training Plan
SD1 / AGS	Complete and review outcome of Pay and Grading Review	Red	Progress Status: In Progress/ Behind Work is being completed on finalising the hierarchy of points. WME have attended Llanion Park and delivered moderation panel training to a further 10 staff and 2 more moderation panels

			are planned for early July. Work has been begun by WME on pay modelling.
SD21	Updating of Annual Appraisal/ Work and Well-being process to capture progress against new priorities and identify skills gaps and development opportunities for all staff.	Green	Progress Status: In Progress/ On Track The wellbeing and development reviews are due to be completed by 28 June 2024. The information around training and development will be collated and analysed to inform the training development programme. A more detailed review of appraisal/ performance review will be undertaken as part of the HR policy review which is in hand.
SD21/ AGS	Development and delivery of training plan/ programme 2024 - 2027 for all Staff, Members (through Member development training plan) and volunteers incorporating new priorities and reflecting areas identified within Skills and Development Delivery Plan for training.	Green	Progress Status: In Progress/ On Track The staff Wellbeing and Development Plans had a submission date of 28 June. Work has begun in HR to collate the training information. Welsh Government funding for in-work apprenticeships has resulted in a training provider Educ8 working with us to offer a suite of apprenticeships to all staff who work for more than 16 hours per week. The Company have attended a Management Team meeting to provide detailed information about the courses available and the process involved. These opportunities will be considered as part of the training needs analysis of the Wellbeing and Development forms
SD1	Explore new pathways to employment opportunities through skills development/ training / apprenticeship opportunities. Review our offer for further and higher education students.	Green	Progress Status: In Progress/ On Track We are continuing to work with Careers Wales in supporting their events at local schools. We attended a Year 10 Careers event at a local school discussing with students job opportunities and the entrant level qualifications that may be helpful with career aspirations to work for the Authority in a wide range of posts.
AGS/ DT29	Review of Health and Safety – ensuring we can deliver our new priorities in a way that is aligned to our Health and Safety obligations. Review and update of Risk Assessments to new template following	Green	Progress Status: In Progress/ On Track The risk assessments are approximately 90% completed, with a new process to assist line managers manage their own risk assessments being drawn up.

	recommendation from Internal Audit.		
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9. Planning

Note: Following upgrade to planning system work is currently being undertaken to update/ develop associated dashboards/ reports from system for planning data. As a result, figures were not available for consideration when producing this assurance report.

Resilience Area		Resilience Score [Q4 2023/24]	Resilience Score [Q1 2024/25]
AD	Accountability Documentation	Vulnerable [1 Trigger]	Vulnerable [1 Trigger]
		Of Concern [1 Trigger]	
IRCM	Incidents/ Regulators/ Complaints/ Monitoring	Vulnerable [2 Triggers]	Please see above note on planning data.
		Of Concern [1 Triggers]	
CI	Culture/ Implementation	N/A	N/A
Ref	Triggers identified: Vulnerable/ Of Concern	Management Response	
AD	Planning Enforcement and Compliance Policy last reviewed and adopted 2011. [Trigger 1]	Director of Placemaking, Decarbonisation and Engagement, Development Management Manager and Enforcement Team to review. Revised policy to go to NPA for approval.	
Ref	AGS and Delivery Plan Actions	RAG Status	Progress Commentary
	Review of Adopted Local Development Plan 2	Green	Progress Status: Not Started/ On Track Review of LDP 2 to commence in August and draw on the data being collected from the Annual Monitoring Report
	Planning Administrative Process Review	Amber	Progress Status: In Progress/ Behind The update of the APAS system (planning database), which has been in the pipeline for a number of years has proven very difficult. The new system is up and running, but the ability to produce performance statistics has been severely impacted on. The team are working with the external company to allow performance statistics to be produced and are making progress on being able to monitor accurately going forward.
	Review of Enforcement Service	Green	Progress Status: In Progress/ On Track The review of enforcement services has progressed from being short staffed to now being in a good position, where the team are working well to

			<p>address a backlog which still remains from Covid. New enquiries are being processed more efficiently and the enforcement assistant has made a really positive impact to the team as a whole. The next stage is to review the Enforcement Charter which is significantly out of date and replace with an amended version. This is currently being researched by the team.</p>
	<p>Planning – Engagement with Community Councils/ Provision of Training</p>	<p>Green</p>	<p>Progress Status: In Progress/ On Track Development Management Manager and Head of Placemaking, Decarbonisation and Engagement have attended meetings in July with Community Councils regarding the new proposed Article 4 Consultation and we have had positive feedback from them on this.</p>