Appendix 1: DGG 2023-2024 Year End Assessment
Core Principle A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Behaviours and actions that demonstrate good governance in	*Current arrangements in South Ayrshire that support those behaviours and actions……*	Lead officers
Behaving with integrity	**2023-24 Year End Assessment:** ▷	
1. Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation. 2. Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (Nolan Principles). 3. Leading by example and using the above standard operating principles or values as a framework for decision making and other actions. 4. Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.	• Both our Councillor's Code of Conduct and our Code of Conduct for Employees identify that behaving with integrity is a key principle that must be followed. The principles within the Councillors' Code are explained as part of the induction training for all new councillors, the Employees Code is issued with all contracts of employment for adherence/acceptance • We maintain a register of interests for each councillor published on the Council's website accessible by Councillor together with a register of the gifts and hospitality received by councillors. • Employees declare any private interests or memberships that might cause a conflict of interest to their line manager. Any gifts or hospitality offered to them (other than those of token value) are recorded in directorate registers. • In keeping with our Standing Orders Relating to Meetings, Panel and Council Meetings are conducted with respect. Declarations of interest are made and minuted at the start of each of these meetings, to avoid any conflict of interest arising during the conduct of those meetings.	SL Democratic Governance Chief HR Officer
Demonstrating strong commitment to ethical values	**2023-24 Year End Assessment:** ▷	
5. Seeking to establish, monitor and maintain the organisation's ethical standards and performance. 6. Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation. 7. Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values. 8. Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation.	• Our Audit and Governance Panel promotes and maintains high standards of conduct by all Councillors, including consideration of the management and operation of ethical standards as set out in the Councillor's Code of Conduct. It recommends to Council any additional protocols, training or support required by Councillors in relation to ethical standards or other matters. • We demonstrate through the pursuit of Equalities and Diversity and in setting and delivering our Shared Equality Outcomes, as agreed by the Ayrshire Equality Partnership, mid-term progress report that we are fully committed to the principles of fairness, equality and human rights. The Equality Outcomes and Mainstreaming Progress Report sets out how equalities have been further mainstreamed through our organisation. We apply these principles in all we do as a community leader, service provider and employer. • Our Procurement Strategy identifies that where ethically traded goods and services are available, we will work with all relevant stakeholders and take a Best Value approach when applying fair and ethically trading principles in procurement activities.	SL Democratic Governance SL Performance, Policy and Community Planning SL Procurement

Key:	▷	Effective	△	Effective but scope for improvement	●	Requiring improvement		Appendix 1 - Page 1

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

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Respecting the rule of law		**2023-24 Year End Assessment:**	
9. Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.

10. Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements.

11. Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.

12. Dealing with breaches of legal and regulatory provisions effectively.

13. Ensuring corruption and misuse of power are dealt with effectively. | • All reports to Panel and Council are required to confirm that the recommendations they contain are consistent with legal requirements and reflect appropriate advice from our Legal Services.

• The Chief Governance Officer, acting as Monitoring Officer, ensures the Council observes its Scheme of Delegation, its Standing Orders and operates legally. This includes reporting on the legality of matters, mal-administration, and the conduct of councillors and officers.

• Members on decision making panels such as the Regulatory Panel, Local Review Body (LRB) and Licensing Board receive training and briefings on the legal aspects of their decision making. A training briefing on Planning and Short Term Lets was provided to Members in June 2023. Induction training for the Regulatory Panels (Licensing and Planning) and the LRB was provided to a new Elected Member in October 2023.

• Our Anti-Fraud and Anti-Bribery Strategy outlines the measures taken by the Council to protect itself against malpractice through either fraud or corrupt practice.

• Our Procedure for reporting concerns at work outlines how employees can report what they believe to be serious wrongdoing in the Council or information regarding malpractice, such that matters can be expedited thoroughly, discreetly and in a confidential way. | | SL Legal and Licensing

SL Democratic Governance

Chief HR Officer |

Key:		Effective		Effective but scope for improvement		Requiring improvement

Behaviours and actions that demonstrate good governance in	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Openness	**2023-24 Year End Assessment:**	▶	
14. Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness. 15. Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided. 16. Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear. 17. Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action.	• Our Communications Strategy (2023-28) ensures that information about what we do, why we do it and how we do it is provided to our residents, customers, tenants, businesses, Councillors, staff, partners and other stakeholders in the most effective way. The strategy underlines the responsibility that each Elected Member, manager and officer has in delivering this. • All Panel and Council Meetings are open to the public with all papers discussed in open session, other than those containing confidential information. Remote and hybrid Panel and Council meetings are live webcast and recordings are available for the public to view for 24 months on Council website. • Minutes are taken of all Panel and Council Meetings, showing a clear record of how decisions were reached. These are published on the Council's website along with Press Releases which cover all the major decisions that are taken by the Council. • Our Panel report template enables decisions to be communicated accurately and timeously by our Communications Team in line with Panel meeting dates. • Our Communications Strategy reinforces the responsibility of Service Leads to take a strategic approach to communications, ensuring service owned campaigns and plans are in place and that information is shared timeously with the Communications Team • All Panel and Council reports set out the 'results of consultation' providing an outline of how their recommendations have been informed by consultation and engagement.		SL Organisational Development and Customer Services SL Democratic Governance
Engaging comprehensively with institutional stakeholders (other organisations)	**2023-24 Year End Assessment:**	⚠	
18. Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably. 19. Developing formal and informal partnerships to allow for resources to be used more9 efficiently and outcomes achieved more effectively. 20. Ensuring that partnerships are based on trust, a shared commitment to change, a culture that promotes and accepts challenge among partners, and that the added value of partnership working is explicit.	• The Council engages with its main 'institutional stakeholders' through the Community Planning Partnership, which is underpinned by a Community Planning Board supported by a Strategic Delivery Partnership Chairs Executive, comprising the key partners responsible for facilitating effective community planning as defined in community empowerment legislation. Governance arrangements are in place to ensure the Community Planning Partnership is focused on its agreed priorities. The annual Local Outcomes Improvement Plan (LOIP) progress report provides further information on joint progress against outcomes. During 2023/2024 work has taken place to develop a new LOIP for the period 2024-2029. • Our partnerships are underpinned by formal operating agreements, such as with NHS Ayrshire & Arran for our Health and Social Care Partnership (governed through the Integration Joint Board); with East Ayrshire Council for the Ayrshire Roads Alliance (governed by the Ayrshire Shared Services Committee) and with South Carrick Community Leisure for the Quayzone in Girvan (overseen by our Service and Performance Partnerships Panel). A review of these formal operational agreements is taking place during 2024/25.		SL Performance, Policy and Community Planning Chief Governance Officer

Key:	▶	Effective	⚠	Effective but scope for improvement	🔴	Requiring improvement	Appendix 1 - Page 3

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Engaging with individual citizens and service users effectively	**2023-24 Year End Assessment:**	▷	
21. Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes. 22. Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement. 23. Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs. 24. Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account. 25. Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity. 26. Taking account of the impact of decisions on future generations of tax payers and service users.	• The Council has a Community Engagement Strategy that provides direction for services over how to conduct effective consultation. • Six Locality Planning Groups are in place to help inform the thinking and approach of the Health and Social Care Partnership. Key developments relating to Locality Planning are reported to the Strategic Planning Advisory Group. • The Participatory Budgeting process gives residents the opportunity to decide where public money is spent in their communities. Annual updates on Participatory Budgeting progress are reported to Service and Partnerships Performance Panel. • We use the South Ayrshire 1000 Citizens' Panel to get the views of South Ayrshire residents, their feedback helping to improve and develop public services. • Services have access to Microsoft 365 which gives them the ability to create their own surveys and engage with the public using the M365 Forms application via the Council's consultations web page. • We use our website to publicise current consultation exercises and to report back on their findings e.g. Community Learning and Development Plan 2024-2027, Budget Consultation 2024-25 • Equality Impact Scoping Assessments including The Fairer Scotland Duty are prepared for each Panel and Council report, to give clarity over the impact that the recommended decision will have, including details of what involvement, engagement or consultation took place. The introduction of a new online integrated impact assessment (IIA) was approved by Cabinet in September 2023. Following approval, the IIA was launched as a pilot for testing within the Strategic Change and Communities Directorate. • Our digital community engagement platform allows open, transparent and democratic engagement between the community and the Council.		SL Thriving Communities Health and Social Care Partnership Facilitator SL Performance, Policy and Community Planning SL Transformation

Key:	▷	Effective	⚠	Effective but scope for improvement	⬤	Requiring improvement

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

Behaviours and actions that demonstrate good governance in	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Defining outcomes		**2023-24 Year End Assessment:** ▶	
27. Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions 28. Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer 29. Delivering defined outcomes on a sustainable basis within the resources that will be available 30. Identifying and managing risks to the achievement of outcomes 31. Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	- The Council's vision and values have been in place since 2019 and are embedded. Our vision is that we want to serve South Ayrshire '**by making a difference every day**' - The Council Plan 2023-28 identifies key areas of focus over the next 5 years. The Plan provides a common framework for services and partners to work collaboratively to achieve improved outcomes and wellbeing for our communities. Service Plans supporting the new Council Plan were approved by Council in June 2023 (for year one of the Council Plan). In February 2024 the service planning process began to develop council plan actions for year two of the Council Plan (2024-2025). - These plans help to inform the resourcing requirements of the Council and at the same time should reflect the realities and constraints around resource availability. We have been working during 2023-24 to improve ties between our plans and our resource strategies, covering Finance, our Workforce and Asset Management. Revision of the Council's Land and Property Asset Management Plan will reflect the Council's management structure and the Council Plan 2023-28 and Community Asset Transfer. - Our Corporate Workforce Plan (2022-2025) was approved in November 2022. A standardised approach, developed in conjunction with the Local Government Association model has been adopted in developing our workforce planning activities. Workforce planning is now embedded within the 2024 Service Plan template. Our recent external audit (which focused on the theme of workforce innovation) was viewed as positive by Audit Scotland. - Our Strategic Risk Register helps us to manage the overarching elements of risk that are critical to the achievement of our desired outcomes, with risk management arrangements also in place at Directorate level.		SL Performance, Policy and Community Planning SL Corporate Accounting SL Asset Management and Community Asset Transfer SL Organisational Development and Customer Services SL Risk and Safety

Key:	▶	Effective	⚠	Effective but scope for improvement	🔴	Requiring improvement

Behaviours and actions that demonstrate good governance in	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Sustainable economic, social and environmental benefits		**2023-24 Year End Assessment:** ▶	
32. Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision 33. Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints 34. Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs 35. Ensuring fair access to services	• Currently all Panel and Council reports are required to consider 'Sustainable Development and Climate Change Implications' to highlight the environmental impact of proposed policies and plans. This is complimented by any accessibility, health, well-being and deprivation impacts being spelt out through the Equality Impact Scoping Assessment process. The Council's online integrated impact assessment introduced during 2023/24 will allow several key national and local priorities to be considered as part of our decision-making process. Topics include Climate Change, The Fairer Scotland Duty, The Promise and Children's Rights. • The Council is committed to Inclusive Growth and Environmental Impact which are at the core of the Strategic Economic Plan: Vision 2030 and the new South Ayrshire Inward Investment Strategy 2024. This is also demonstrated through progressing specific projects, service planning and commitment to the Ayrshire Regional Economic Strategy. • Fairer Scotland Duty has been incorporated into the Equality Impact Assessment process which forms part of the Council's integrated impact assessment. This prompts officers to carefully consider and reflect on how they comply with the legal responsibility placed on the Council to actively consider ('pay due regard' to) how it can reduce inequalities of outcome caused by socioeconomic disadvantage, when making strategic decisions.		SL Performance, Policy and Community Planning Assistant Director - Communities

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*	Lead officers
Determining actions	**2023-24 Year End Assessment:** ▶	
36. Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided 37. Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts	• All Panel and Council reports set out the details of any 'Options Appraisal' carried out together with the 'Results of Consultation'. An options appraisal is required to be undertaken where 'it aids the consideration and appraisal of a number of alternative courses of action to ensure that desired outcome can be achieved in the most economic, effective and efficient way possible; and it allows for new initiatives to be carefully appraised in relation to all potential costs and benefits and their financial sustainability before being approved by the Council/Panel'. • The Strategic Change Executive, which oversees the Council's Change Programme, has been replaced with wider transformation governance arrangements including the establishment of the Transformation Fund and Transformation Board which meets quarterly. Reports providing updates on the success of the Change Programme were delivered to Cabinet in June 2023 and Service and Partnerships Performance Panel in January 2024.	SL Performance, Policy and Community Planning Director – Communities and Transformation
Planning actions	**2023-24 Year End Assessment:** ▶	
38. Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets 39. Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered 40. Considering and monitoring risks facing each partner when working collaboratively, including shared risks 41. Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances 42. Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured	• Our planning and control cycle is set out within the Council's Performance Management Framework. for 2023-2028. • Services develop plans with clear targets that are based around the Council's priorities with quarterly reporting to Service and Partnerships Performance Panel and the Council's Leadership Team. • Service Plans allow for team plans and Personal Development Review (PDR) to connect directly into the Council's 3 Council Plan Priorities and Outcomes - Spaces and Places; Live, Work, Learn; and Civic and Community Pride. • Plans are managed and assessed in terms of progress against their actions and performance measures through our performance management system (Pentana) with the contribution of the workforce towards their achievement being assessed through our PDR process. It is managers' responsibility to ensure their staff achieve their objectives. A review of the PDR process is scheduled to be carried out in 2024. • Our PDR template reflects our Purpose, Vision and Values and includes discussion on the Employee Deal with each employee.	SL Performance, Policy and Community Planning SL Organisational Development and Customer Services

Key:	▶	Effective	⚠	Effective but scope for improvement	🔴	Requiring improvement	Appendix 1 - Page 7

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*	Lead officers
Planning actions (cont'd)		
43. Ensuring capacity exists to generate the information required to review service quality regularly 44. Preparing budgets in accordance with objectives, strategies and the medium term financial plan 45. Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	• Council Services completed self-evaluation as part of the Service Planning Process in February 2024. The Council has adopted the Public Sector Improvement Framework (PSIF) for self-evaluation and this framework was used as part of the self-evaluation exercise • In March 2024, the CLT undertook the self-assessment for the leadership theme. The results of the self-assessment were analysed by the PSIF team at the Improvement Service and two workshops were then held with the CLT to plan for improvement going forward. • Our annual budget setting exercise is undertaken within the context of the Council Plan 2023-28. Throughout 2023/24, including the 2024/25 budget setting process, a continued focus has been the impact on current and future resource constraints, including inflationary pressures.	SL Performance, Policy and Community Planning SL Corporate Accounting
Optimising achievement of intended outcomes	**2023-24 Year End Assessment:**	SL Corporate Accounting
46. Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints 47. Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term 48. Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage 49. Ensuring the achievement of 'social value' through service planning and commissioning	• Our Financial Strategy 2020 to 2030 and Medium Term Financial Plan 2024-25 to 2028-29 are key to ensuring the achievement of the Council's strategic objectives and are about making sure sufficient resources are available to support their delivery. They will provide assistance in identifying where and when resources will become stretched and encourage the identification of a more prioritised approach to future planning with regard to financial constraints. • We are committed to maximising both the contractual and voluntary Community Benefits from our procurement activities. Evidence of the increase in Community Benefit achieved is published in the Council's Annual Procurement Report. • Commissioning Plans are in place to deliver on the Health and Social Care Partnership's (HSCP) Adult Mental Health and Adult Learning Disability Strategies and the Adult and Older People Service Plan. These tie in the HSCP Financial Plan to the HSCP Strategic Plan 2021 to 2031. Review of the Adult Mental Health Strategy has commenced and the Strategy will be published later in 2024.	SL Corporate Accounting SL Procurement Head of Community Health and Care Services

Key:		Effective		Effective but scope for improvement		Requiring improvement		Appendix 1 - Page 8

Core Principle E. Developing the Council's capacity, including the capability of its leadership and the individuals within it

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Developing the Council's capacity	**2023-24 Year End Assessment:** ▷		
50. Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness 51. Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently 52. Recognising the benefits of partnerships and collaborative working where added value can be achieved 53. Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	• The Council's Service Review process was designed to systematically review the options for delivering services to ensure they represent best value. Council approved a new approach to transformation in March 2024 including four priority areas and the establishment of the Transformation Board to ensure the appropriate level of governance is in place for the Strategic Change Programme. • Service re-design process and approach is being reviewed by the Council's Transformation Service. • A review and evaluation of the Council's approach to Future Operating Model identified implications for operational performance and use of assets. This was presented to Strategic Change Executive and was the subject of an Elected Member's Briefing in June 2023. Transition to the Future Operating Model is complete. • Benchmarking activity includes use of the Local Government Benchmarking Framework measures to help evaluate our performance, which are reported annually to Members. • A Corporate Workforce Plan is in place which includes a comprehensive action plan that will be taken forward by key, identified services. Workforce Planning is now a subject included in the Leadership Development Programme. • Information from workforce planning and succession planning templates informed detailed workforce planning reports which were issued to all Directors, and highlighted a range of workforce considerations, maturity levels, risks, and critical role analysis. These reports will also inform the Directorate workforce planning groups.		Director – Communities and Transformation SL Performance, Policy and Community Planning SL Organisational Development and Customer Services

Key:	▷	Effective	⚠	Effective but scope for improvement	⬤	Requiring improvement

Core Principle E. Developing the Council's capacity, including the capability of its leadership and the individuals within it

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Developing the capability of the Council's leadership and other individuals		**2023-24 Year End Assessment:** ▶	
54. Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained 55. Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body 56. Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority 57. Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by ensuring: • access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged • they have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and that they are able to update their knowledge on a continuing basis • personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external	• Role Profiles set out the generic responsibilities of all Members, together with specific ones for the Leader of the Council, Provost, Portfolio Holders and the Chairs of Standing Scrutiny Panels, Regulatory Panel and Other Panels. Role Profiles will be revised and updated in 2024/25. • Job descriptions are in place for the Chief Executive, Directors, Assistant Directors/Chief Officers and Senior Officers. • The Council's Scheme of Delegation is regularly updated, setting out what powers are exercised by Council, what are delegated to Panels and what are delegated to officers. • The Chief Executive is appraised by the Leader of the Council and other senior Members at the Chief Officers Appointments / Appraisal Panel. • Chief Officers are appraised against our Leadership Competency Framework. • A comprehensive induction programme was provided for Members in May / June 2022. • An ongoing programme of Member Briefings provides updates and discussion on emerging issues/areas of interest, this is available in a hybrid format and can be accessed as recordings where members are unable to attend. Corporate Leadership Team agreed that senior management can now attend Member Briefings. • We have a suite of development and training opportunities for Members including CPD, briefings and political skills self-assessment. • Welcome pages are in place as part of the Future Operating Model to support new employees who are joining on different workstyles e.g. homeworking. • A new Leadership Development Programme is in place, including a range of Leadership Engagement Events. • Our senior officers and managers have Personal Development Plans arising from our Performance and Development Review process.		SL Democratic Governance Chief HR Officer SL Organisational Development and Customer Services SL Democratic Governance SL Organisational Development and Customer Services

Core Principle E. Developing the Council's capacity, including the capability of its leadership and the individuals within it

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*	Lead officers
Developing the capability of the Council's leadership and other individuals (continued)		
58. Ensuring that there are structures in place to encourage public participation	• The Council's Community Engagement Strategy sets out the role of Community Empowerment in the active involvement of people and communities within South Ayrshire in the work of the Council.	SL Thriving Communities
59.Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	• Training in partnership with the Consultation Institute has been delivered to Elected Members and Officers to understand the requirements for consultation. During 2023/24 we continued to upskill the workforce on consultation, a consultation reference group was set up to coordinate consultations and details of consultations published.	
60. Holding staff to account through regular performance reviews which take account of training or development needs	• Our workforce participate in an annual Performance Development Review process, which ties into the Council's corporate vision and values of the South Ayrshire Way. Managers are responsible for ensuring PDRs are carried out effectively and meaningfully in their area.	SL Corporate Planning and Improvement
61. Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	• The health and well-being of our workforce is of the utmost importance to the Council, as recognised through the implementation of the Workforce Planning Strategy and the Wellbeing Strategy. These Strategies identify a range of workstreams relating to employee wellbeing which cut across several Council Services.	Chief HR Officer

Key:	▶	Effective	⚠	Effective but scope for improvement	🔴	Requiring improvement

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

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*	Lead officers
Managing risk	**2023-24 Year End Assessment:** ▶	
62. Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making 63. Implementing robust and integrated risk management arrangements and ensuring that they are working effectively 64. Ensuring that responsibilities for managing individual risks are clearly allocated	• A risk management strategy that sets out the overall arrangements for assessing, managing and reviewing risk across the operation of the Council. • Strategic and directorate risk registers in place, with a regular review and reporting regime, to ensure risks are managed to a tolerable level. • 6 monthly agreement of the Council's Strategic Risk Register by the Audit and Governance Panel and Cabinet, following specific training for Members. • All Panel and Council reports include 'Risk Implications of Accepting or Rejecting Recommendations'	SL Risk and Safety
Managing performance	**2023-24 Year End Assessment:** ▶	
65. Monitoring service delivery effectively including planning, specification, execution and independent post implementation review 66. Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook 67. Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible 68. Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement 69. Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements)	• Plans are managed and assessed in terms of progress against their actions and performance measures through our performance management system (Pentana). • Scrutiny of these performance reports takes place at the Service and Partnerships Performance Panel. The Council Plan Quarter 2 performance report was submitted to Panel in November 2023. The Annual Performance Report 2022/23 was taken to full Council in December 2023. To aide this scrutiny, Members can directly access the performance information held within Pentana. • Throughout 2023/24, the Council's Strategic Change Programme ensured a project approach to the delivery of key outcomes. The programme was underpinned by a governance framework focusing on benefit realisation and effective reporting. The Strategic Change Executive received bi-monthly updates on the Change Programme. • In March 2024, proposals to take forward a new strategic vision for delivering transformation activity, Shaping our Future Council, were approved by Full Council. The new vision includes new governance and reporting framework as well as a transformation fund that Services can utilise to deliver strategic priorities. • Revenue Budgetary Control reports are presented to Members at Cabinet every three months, to provide a financial overview of the General Services Revenue Account, Housing Revenue Account and Common Good Accounts. Plans are currently being developed to increase the frequency of budgetary control reports to Cabinet to five per annum.	SL Performance, Policy and Community Planning Director – Communities and Transformation SL Corporate Accounting

Key:	▶	Effective	⚠	Effective but scope for improvement	🔴	Requiring improvement

Behaviours and actions that demonstrate good governance in practice….	Current arrangements in South Ayrshire that support those behaviours and actions……		Lead officers
Robust internal control		**2023-24 Year End Assessment:** ▷	
70. Aligning the risk management strategy and policies on internal control with achieving objectives 71. Evaluating and monitoring risk management and internal control on a regular basis 72. Ensuring effective counter fraud and anti-corruption arrangements are in place 73. Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor 74. Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body: • provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment • that its recommendations are listened to and acted upon	• As described under 'managing risk' we have a risk management strategy aligned to the Council Plan and Risk Registers which management evaluate and monitor on a 6-monthly basis • As described under 'managing performance' we have internal controls (our Performance Management Framework) designed to help deliver our objectives, which includes review by management on progress achieved, on a 6-monthly basis. • As described under 'Respecting the rule of law' we have counter fraud and anti-corruption arrangements, together with a Corporate Fraud Team that reports to the Audit and Governance Panel on a 6 monthly basis. The Council also participates in the biennial National Fraud Initiative exercises. • Our Internal Audit team develop their annual plan linked to risk register and Council Plan. It is focused on areas where Internal Audit can effectively contribute to the effectiveness and efficiency of governance, risk management and control processes. Progress is reported quarterly, together with an annual statement of assurance. • Our Audit and Governance Panel, whose chair and vice chair are independent of the ruling political administration, is responsible for considering the overall adequacy and effectiveness of the Council's framework of governance, risk management and control arrangements, including the associated anti-fraud and anti-corruption arrangements. The work of the Panel is conducted in line with our Audit Committee Handbook. and CIPFA Guidelines. • Regular updates are provided to the Audit and Governance Panel on progress against Internal Audit improvement actions together with progress against External Audit Reports. • The Panel also administers the 'Call-In' process, where decisions of the Cabinet can be 'called in' by other Members, to allow further scrutiny to take place.		SL Risk and Safety SL Performance, Policy and Community Planning SL Internal Audit SL Democratic Governance

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Managing data		**2023-24 Year End Assessment:** ▶	
75. Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data 76. Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies 77. Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	• Our Records Management Plan sets out proper arrangements for the management of both electronic and physical records across all Council service areas, in compliance with the Public Records (Scotland) Act 2011. • Our Data Protection Policy sets out our arrangements to ensure that we are fully compliant with the UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018. Data Protection training was provided to Services in January 2024. • We have guidance over sharing of data and a specific Ayrshire and Arran Protocol regulating the sharing of data with the Police Service for Scotland and Scotland Fire & Rescue. An information sharing protocol is in place between South Ayrshire Council, East Ayrshire Council, North Ayrshire Council, NHS Ayrshire and Arran and the Health and Social Care Partnership Service Integration Joint Boards.		SL Democratic Governance
Strong public financial management		**2023-24 Year End Assessment:** ▶	
78. Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance 79. Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	• Our Financial Strategy 2020 to 2030 and Medium Term Financial Plan 2024-25 to 2028-29 are key to ensuring the achievement of the Council's strategic objectives. Our planning at Service and Improvement Plan level continues to be linked to budgets available to services. Links exist between our 'financial' and 'performance' reporting including reference in the financial reports to the impact on service performance for context. • Work continues to improve the flow of financial management information as budget holders become more directly involved in the budgeting and forecasting of spend. A new Enterprise Resource Planning solution, which is predicated on adopting best practice in this area and will ultimately inform future improvement work, became operational during April 2023. Following a period of 'bedding-in', work is ongoing to review the new processes and controls associated with the system to help ensure that stakeholders' needs are addressed through effective operation of the system.		SL Corporate Accounting

Key:	▶	Effective	⚠	Effective but scope for improvement	🔴	Requiring improvement

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*	Lead officers
Implementing good practice in transparency	**2023-24 Year End Assessment:** ▷	
80. Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate 81. Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	• Our Council website offers the public easy access to up to date information. We now comply with the Public Sector Bodies Accessibility Regulations with regards to the accessibility of the documents we publish. We also use a range of social media to ensure that we appeal to and engage with a broad range of audiences. We offer translations and alternative formats for our printed publications. • Our social media profile continues to increase with over 63,000 followers across all of our corporate platforms. We publish quarterly editions of our SAC Live Magazine, providing residents with information on our services and the work of the Council. We also use tools such as public facing TVs to inform the public. • Our Annual Accounts feature a reader-friendly 'management commentary' covering our administration, financial management and performance over the course of the last year, providing a concise outline of progress, illustrated with examples and infographics.	SL Transformation SL Organisational Development and Customer Services SL Corporate Accounting
Implementing good practices in reporting	**2023-24 Year End Assessment:** ▷	
82. Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way 83. Ensuring members and senior management own the results reported 84. Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations 85. Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement) 86. Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate	• Our approach to public performance reporting includes our Annual Performance Report, and annual reports for high profile services including Educational Services, Housing and the Health and Social Care Partnership • Council decisions are taken by Members and these are minuted and published. • Our Council's Annual Performance Report and analysis of benchmarking data allows the public to assess performance across all the main areas of Council service provision. Our Public Performance webpage allows people to find out more about how the Council and Community Planning Partnership are performing. • We will continue to update evaluation procedures for this Framework, maintaining the robustness of our existing approach, where the initial officer assessment is scrutinised by the Audit and Governance Panel, the findings and improvement actions then being reflected in the Council's Annual Governance Statement within our Annual Accounts. • We look for the principles of good governance, rather than this Framework itself, to be evident wherever we work in partnership. For example, our Health and Social Care Partnership publish their detailed governance arrangements on their website.	SL Performance, Policy and Community Planning SL Democratic Governance

Key:	▷	Effective	⚠	Effective but scope for improvement	🔴	Requiring improvement	

Core Principle G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Assurance and effective accountability		**2023-24 Year End Assessment:** ▶	
87. Ensuring that recommendations for corrective action made by external audit are acted upon 88. Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon 89. Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations 90. Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement 91. Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met	• Regular updates are made to the Audit and Governance Panel on progress against improvement actions identified in relation to External Audit reports. • Inspection reports on schools, social work services, children's services etc. are considered at Cabinet, who are kept updated over their improvement actions. • National Audit Scotland reports are considered by the Audit and Governance Panel, allowing the Council to reflect on their findings and to act on areas for improvement. • Services continue to take account of the risks associated with service delivery through third parties as part of our 2023/24 annual governance statement. • Our Service and Partnerships Performance Panel monitors, reviews and challenges the performance of services which are delivered through or in partnership with external bodies and discharges the statutory requirement for local review of police and fire performance.		Chief Financial Officer SL Democratic Governance

Key:	▶	Effective	⚠	Effective but scope for improvement	🛑	Requiring improvement