South Ayrshire Council

**Report by Head of Legal and Regulatory Services
to Audit and Governance Panel
of 28 June 2023**

Subject: Delivering Good Governance – 2022/23 Assessment

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1.   Purpose

1.1   The purpose of this report is to invite Members to review the 2022/23 year-end assessment against the Council's Delivering Good Governance Framework.

2.   Recommendation

2.1   It is recommended that the Panel reviews and agrees the 2022/23 year-end assessment as set out in Appendix 1 to this report.

3.   Background

3.1   Since the 2021/22 year-end assessment was reviewed and agreed by Audit and Governance Panel Members on 22 June 2022 work has progressed to address the associated improvement actions.

4.   Proposals

4.1   This report provides updates on those improvement actions set within the context of the principles of the Framework in line with CIPFA recommendations – see Appendix 2; provides a year end assessment on the effectiveness of the updated Framework – see Appendix 1; and identifies a prioritised set of improvement actions to further strengthen the Council's governance arrangements – see Appendix 3.

4.2   Appendix 2 details progress against the improvement actions agreed for 2022/23. There were 9 Improvement Actions in all, one Action had two strands. It shows that:

- 4 are complete;

- 1 is progressing on target (timescale previously extended beyond the year-end);

- 5 haven't progressed as planned, these are:

    o   The development of an integrated assessment tool incorporating equalities, health in all policies, Fairer Scotland Duty etc. (A solution has taken time to evolve and will be implemented later this year).

    o   Governance to ensure Climate Change considerations in line with

delivery of the Council's Climate Change Strategy and Climate Change Policy. The Sustainable Scottish Network agreed a climate change impact assessment reporting tool to allow consistency across local authorities. This will now be incorporated in the Council's integrated assessment tool as one Improvement Action. (Implementation will be later this year).

- o Revision of the Council's Land and Property Asset Management Plan. The Plan will follow approval of a report by the Council's Cabinet on Transforming our Estate. (Implementation will take place during 2023/24).

- o Review of the Health and Social Care Partnership Adult Mental Health Strategy. This was delayed due to a restructure in Community Health and Care Services (Implementation will take place during 2023/24).

- o Refresh the Council's corporate evaluatory tool 'How Good is our Council'. This was delayed to allow time for the new Council Plan to be developed and ensure strategic alignment with the Council's approach to self-evaluation. (Implementation will take place during 2023/24).

4.3 Where slippage has occurred which is material to the effectiveness of the governance arrangements, then this has been factored into year-end assessment presented at Appendix 1. Similarly, if any of the continuing or outstanding actions are regarded as being significant in the context of the framework, then these have been included within the Improvement Plan for 2023/24 in Appendix 3.

4.4 Appendix 1 reflects any developments to the Framework that occurred between April 2022 and the year-end sign off as at 31 March 2023. It also includes an assessment of the effectiveness for each of the 21 sub-principles by the lead officers identified for the aspects that they have responsibility for / knowledge of on the following three-point scale:

▶	Effective	⚠	Effective but scope for improvement	🛑	Requiring improvement

Delivering Good Governance 2022-23 Year End Assessment - Summary	
Behaving with integrity	▶
Demonstrating strong commitment to ethical values	▶
Respecting the rule of law	▶
Openness	▶
Engaging comprehensively with institutional stakeholders	▶
Engaging with individual citizens and service users effectively	⚠
Defining outcomes	▶
Sustainable economic, social and environmental benefits	⚠
Determining actions	▶

Delivering Good Governance 2022-23 Year End Assessment - Summary	
Planning actions	▶
Optimising achievement of intended outcomes	▶
Developing the Council's capacity	▶
Developing the capability of the Council's leadership	▶
Managing risk	▶
Managing performance	▶
Robust internal control	▶
Managing data	▶
Strong public financial management	▶
Implementing good practice in transparency	▶
Implementing good practices in reporting	▶
Assurance and effective accountability	▶

4.5   Based on this assessment the lead officers were then asked to identify any specific actions they felt would be desirable to improve the current arrangements and any actions they felt were essential to improve the current arrangements. The resultant actions were then reviewed and prioritised by the Corporate Leadership Team, to produce a rationalised and proportionate set of Improvement Actions for 2023/24, as set out in Appendix 3.

4.6   A summary version of the framework is available on the Council's website, with hyperlinks to allow Members, officers and the public to access all of the supporting detail of the Council's current governance arrangements.

5.   Legal and Procurement Implications

5.1   There are no legal implications arising from this report.

5.2   There are no procurement implications arising from this report.

6.   Financial Implications

6.1   Not applicable.

7.   Human Resources Implications

7.1   Not applicable.

8.   Risk

8.1   *Risk Implications of Adopting the Recommendations*

        8.1.1   There are no risks associated with adopting the recommendations.

8.2/

8.2 *Risk Implications of Rejecting the Recommendations*

8.2.1 Rejecting the recommendations may impact on the reputation of the Council.

9. Equalities

9.1 The proposals in this report have been assessed through the Equality Impact Assessment Scoping process. There are no significant potential positive or negative equality impacts of agreeing the recommendations and therefore an Equalities Impact Assessment is not required. A copy of the Equalities Scoping Assessment is attached as Appendix 4.

10. Sustainable Development Implications

10.1 *Considering Strategic Environmental Assessment (SEA)* This report does not propose or seek approval for a plan, policy, programme or strategy or document otherwise described which could be considered to constitute a plan, programme, policy or strategy.

11. Options Appraisal

11.1 An options appraisal has not been carried out in relation to the subject matter of this report.

12. Link to Council Plan

12.1 The matters referred to in this report contribute to delivery of the Council's cross cutting theme 'Reporting and Governance'.

13. Results of Consultation

13.1 There has been no public consultation on the contents of this report.

13.2 Consultation has taken place with Councillor Martin Dowey, Portfolio Holder for Corporate and Strategic, and the contents of this report reflect any feedback provided.

Background Papers	Report to Audit and Governance Panel of 22 June 2022 – Delivering Good Governance – 2021/22 Assessment
Person to Contact	Catriona Caves, Head of Legal and Regulatory Services County Buildings, Wellington Square, Ayr, KA7 1DR Phone 01292 612556 E-mail catriona.caves@south-ayrshire.gov.uk

Date: 16 June 2023

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	**2022-23 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. We are introducing strengthened procedures in 2023/24. Any gifts or hospitality offered to employees (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 Adviser, Payroll and Employee Services
Demonstrating strong commitment to ethical values	**2022-23 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 Equality Outcomes 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 Policy, Performance and Community Planning SL Procurement

Key:	▶	Effective	⚠	Effective but scope for improvement	🔴	Requiring improvement	Appendix 1 - Page 5

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		2022-23 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 Head of Legal and Regulatory Services, 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 and Licensing Board receive training and briefings on the legal aspects of their decision making. Comprehensive Induction training was provided to Members after the May 2022 Election. • 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 Adviser, Payroll and Employee Services

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		**2022-23 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 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. The Strategy will be updated in Autumn 2023 to reflect the new Council Plan. • 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 continued to be live webcast throughout 2022/23.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. • 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)		**2022-23 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 more 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 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 progress report provides further information on joint progress against outcomes. • 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 Partnerships Performance Panel).		SL Policy, Performance and Community Planning Head of Legal and Regulatory Services

| 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
Engaging with individual citizens and service users effectively		2022-23 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. • Place Planning sessions were carried out across South Ayrshire during 2022/23 these consultations were to inform key priorities for communities • 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. 6-monthly 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. Public Communications Survey, Budget Survey 2023-2024 • 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 was agreed as part of the Council Plan 2023-28 and will be considered by Cabinet in September 2023. • A digital community engagement platform came online in August 2022. This platform was developed with the assistance of CoSLA and allows open, transparent and democratic engagement between the community and the Council.		SL Thriving Communities Health and Social Care Partnership Facilitator SL Policy, Performance and Community Planning SL ICT Enterprise Architecture

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
Defining outcomes		2022-23 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	• Our vision is that we want to serve South Ayrshire '**by making a difference every day**' • The Council Plan 2023-28 was agreed by Council in March 2023. The Plan 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. New Service Plans will be considered by Council in June 2023. • The Council Plan helps 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 2022-23 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 2023-2028. • Our Corporate Workforce Plan (2022-2025) was approved in November 2022 and training was provided to all Service Leads by the Local Government Association (LGA). A standardised approach, developed in conjunction with the LGA model has been adopted in developing our workforce planning activities. • 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 Policy, Performance and Community Planning SL Corporate Accounting SL Organisational Development and Customer Services SL Asset Management and Community Asset Transfer SL Risk and Safety

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
Sustainable economic, social and environmental benefits		2022-23 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 new online integrated impact assessment to be 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 which is at the core of the Strategic Economic Plan: Vision 2030. This is also demonstrated through progressing specific projects, service planning & commitment to the Ayrshire Regional Economic Strategy. • Fairer Scotland Duty has been incorporated into the Equality Impact Assessment process which will form part of the Council's integrated impact assessment. This ensures that officers are carefully considering and reflecting 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 Policy, Performance and Community Planning SL Economy and Regeneration

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
Determining actions		2022-23 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 receives bi-monthly programme updates which focus on benefits and the delivery of corporate change projects. Reports providing updates on the success of the Change Programme were delivered to Service and Performance Panel in March 2022 and October 2022.		SL Policy, Performance and Community Planning Director – Strategic Change and Communities
Planning actions		2022-23 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. • 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 and 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. • Our PDR template reflects our Purpose, Vision and Values and includes discussion on the Employee Deal with each employee. As part of our Workforce Plan action plan, Service Leads are required to report on their PDR completion rates on Pentana.		SL Policy, Performance and Community Planning SL Organisational Development and Customer Services

Key:	▶	Effective	⚠	Effective but scope for improvement	⬤	Requiring improvement	Appendix 1 - Page 11

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 complete self-evaluation as part of the Service Planning Process • How Good is our Council (HGIOC) remains our corporate evaluatory tool, with Education being the primary users. As part of the new Council plan and Service Planning process we will ensure HGIOC meets the needs of Council services our approach to its use is scheduled for refreshment in 2023/24. • Our annual budget setting exercise is undertaken within the context of the Council Plan 2023-28. Throughout 2022/23 including the 2023/24 budget setting process, a focus has been the impact on current and future resource constraints, including inflationary pressures.	SL Policy, Performance and Community Planning SL Corporate Accounting
Optimising achievement of intended outcomes	**2022-23 Year End Assessment:** ▷	
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 is key to ensuring the achievement of the Council's strategic objectives and is about making sure sufficient resources are available to support their delivery. It is likely to provide assistance in identifying where and when resources will become stretched and encourage the identification of a more prioritised approach to future planning, having regard to financial constraints. The Financial Strategy will be revised when the post Covid-19 public sector financial climate becomes sufficiently clear. • 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 will take place during 2023/24.	SL Corporate Accounting SL Procurement Head of Community Health and Care 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	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Developing the Council's capacity		2022-23 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. However, their outcomes were judged 'to be relatively operational rather than transformational. 6-monthly reports are now approved by Service and Partnerships Performance Panel, March 2022 and October 2022, to ensure the appropriate level of governance is in place for the Strategic Change Programme.
• A review and evaluation of the Council's approach to Future Operating Model has identified implications for operational performance and use of assets. This was presented to Strategic Change Executive and will be subject of an Elected Member's Briefing in June 2023.
• 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. A comprehensive training programme focusing on workforce planning roles and responsibilities was delivered to senior Council Officers.
• New workforce planning and succession planning templates were developed and piloted using M365 functionality allowing services to consider and confirm workforce planning actions and activities. | | Director – Strategic Change and Communities

SL Policy, Performance and Community Planning

SL Organisational Development and Customer Services |
| **Developing the capability of the Council's leadership and other individuals** | | 2022-23 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 | • 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.
• Job descriptions are in place for the Chief Executive, Directors 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. | | SL Democratic Governance

Chief HR Adviser, Payroll and Employee Services

SL Organisational Development and Customer Services |
| *Behaviours and actions that demonstrate good governance in practice….* | *Current arrangements in South Ayrshire that support those behaviours and actions……* | | Lead officers |

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

Developing the capability of the Council's leadership and other individuals (continued)		
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 58. Ensuring that there are structures in place to encourage public participation 59.Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections 60. Holding staff to account through regular performance reviews which take account of training or development needs 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	• 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 which is available in a hybrid format and can be accessed as recordings where members are unable to attend. • We have a suite of development and training opportunities for Members including CPD, briefings and members assess their needs as part of a political skills self-assessment they complete and revisit. • 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 under development by a range of subject matter experts across Services. This programme has been approved by the Council's Executive Leadership Team and follows consultation via a survey with Senior Council Officers to establish development needs. • All our senior officers and managers have Personal Development Plans arising from our Performance and Development Review process. • 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. • Training in partnership with the Consultation Institute was delivered to Elected Members and Officers to understand the requirements for consultation during 2022/23 • 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. • 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. This Strategy identifies a range of workstreams relating to employee wellbeing which cut across several Council Services. The Workforce Planning Strategy also underpins previous work undertaken through the NHS Healthy Working Lives Scheme.	SL Democratic Governance SL Organisational Development and Customer Services SL Thriving Communities SL Risk and Safety

| Key: | ▶ | Effective | ⚠ | Effective but scope for improvement | 🛑 | Requiring improvement | Appendix 1 - Page 14 |

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Managing risk		2022-23 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		2022-23 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 latest being March 2023, with an annual performance report taken to full Council in December. To aide this scrutiny, Members can directly access the performance information held within Pentana. • The Council's Corporate Change Programme ensures a project approach to the delivery of key outcomes. The programme is underpinned by a governance framework focusing on benefit realisation and effective reporting. The Strategic Change Executive received bi-monthly updates on the Change Programme. • 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.		SL Policy, Performance and Community Planning Director – Strategic Change and Communities SL Corporate Accounting

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
Robust internal control		2022-23 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 on a 6 monthly basis.

• 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.

• 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 Policy, Performance and Community Planning

SL Democratic Governance

SL Internal Audit |

Behaviours and actions that demonstrate good governance in practice….	*Current arrangements in South Ayrshire that support those behaviours and actions……*		Lead officers
Managing data		2022-23 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 Members in February 2023. • 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		2022-23 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 is key to ensuring the achievement of the Council's strategic objectives. Our planning at Service and Improvement Plan level has always been tied back to the budgets available to services. However our 'financial' and 'performance' reporting that should link these inter-related elements remains separate, although financial reporting does refer 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. Work to implement 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. This work will establish new processes and controls when the system becomes fully operational.		SL Corporate Accounting

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
Implementing good practice in transparency	2022-23 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 55,000 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. • Social media training was provided to Elected Members in September 2022. Media training was provided to the Council's Corporate Leadership Team and again to additional Elected Members between November 2022 and February 2023. • 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 ICT Enterprise Architecture SL Organisational Development and Customer Services SL Corporate Accounting
Implementing good practices in reporting	2022-23 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. • 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. • 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 Policy, Performance and Community Planning SL Democratic Governance

Key:	▶	Effective	⚠	Effective but scope for improvement	⬤	Requiring improvement	Appendix 1 - Page 18

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		2022-23 Year End Assessment: ▷	
87. Ensuring that recommendations for corrective action made by external audit are acted upon	• Regular updates are made to the Audit and Governance Panel on progress against improvement actions identified in relation to External Audit reports.		Head of Finance ICT and Procurement
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	• Inspection reports on schools, social work services, children's services etc. are considered at Cabinet, who are kept updated over their improvement actions.		
89. Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	• 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.		SL Risk and Safety
90. Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	• Services continue to take account of the risks associated with service delivery through third parties as part of our 2022/23 annual governance statement.		SL Democratic Governance
91. Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met	• 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.		

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

KEY:	✔	Completed	🛑	Not on target – major concerns	✖	Action no longer being progressed
	▶	On target	⚠	Not on target – some concerns	⚙	Not due to start

Improvement Action	Lead Officer	Due Date	Status	Update on progress
B. Ensuring openness and comprehensive stakeholder engagement				
1. Development of an integrated assessment tool incorporating equalities, health in all policies, Fairer Scotland Duty etc. to ensure key strategic priorities are considered at the start of the policy development process	Service Lead - Policy, Performance and Community Planning	31 Aug 21 (revised date)	⚠	The new integrated assessment tool was agreed by Council in March 2023 as part of the Council Plan 2023/28. The impact assessment will encourage services to explore where priorities overlap and converge, allowing for a more joined up approach to tackling shared strategic challenges. A short life working group of local experts was created for designing and testing proposed options. The final version of the integrated assessment tool is scheduled to be agreed by Cabinet in September 2023. Once approved, the assessment tool will also incorporate governance to ensure climate change considerations are in line with delivery of the Council's Climate Change Strategy and Climate Change Policy (Improvement Action DGG 03).
C. Defining outcomes in terms of sustainable economic, social, and environmental benefits				
2. Business cases to be developed to include details as to how Ayrshire Growth deal projects will address Inclusive Growth	Service Lead - Economy and Regeneration	31 Dec 22	✔	Progress has been made with the development of business cases. The Full Business Case for the Commercial Build project was approved by the Cabinet and the AEJC. The Outline Business Case for Spaceport was approved by UKG and SG. The ASTAC business case was submitted to Government for approval and is under review, with the Full Business Case approval date proposed as August 2024. Digital and Roads projects are undertaking a re-scoping exercise
3. Governance to ensure Climate Change considerations in line with delivery of the Council's Climate Change Strategy and Climate Change Policy	Service Lead - Policy, Performance and Community Planning	31 Dec 21 (revised date)	⚠	The Sustainable Scottish Network (SSN) agreed a climate change impact assessment reporting tool. This will inform our new combined Impact Assessment to be introduced in September 2023. This Action has now been incorporated as part of the Delivering Good Governance Action for the development of the Council's Integrated Assessment Tool, incorporating equalities, health in all policies, Fairer Scotland Duty.

4.	Revision of the Council's Land and Property Asset Management Plan	Service Lead - Asset Management and Community Asset Transfer	31 Mar 23 (revised date)	⚠️	The Revision of the Council's Land and Property Asset Management Plan was delayed, as it was due to follow a report on Transforming our Estate being approved by the Council's Cabinet. The Transforming our Estate report will be submitted to the Council's Cabinet in May 2023. The revision of the Council's Land and Property Asset Management Plan will subsequently be submitted to the Council Cabinet by end of September 2023
D. Determining the actions necessary to optimise the achievement of the intended outcomes					
5.	Review of the Health and Social Care Partnership Adult Mental Health Strategy	Head of Community Health and Care Services	31 Mar 23 (revised date)	⚠️	A review of the Health and Social Care Partnership Adult Mental Health Strategy did not commence in 2022/23 due to reduced staffing levels. There was a vacancy in the HSCP Planning and Performance Team which has only recently been filled and there has been a restructure in Community Health and Care Services which has created a new post in Mental Health Services. This process took longer than anticipated. These staffing changes will enable the review of the Strategy to be commenced, taken forward and completed in financial year 2023/24
6.	Contribute to the development and implementation of the Regional Economic Strategy being led by North Ayrshire Council	Service Lead - Economy and Regeneration	31 Mar 23	✅	The Regional Economic Strategy has now been approved by the Ayrshire Economic Joint Committee. A detailed action plan will be developed over the coming months.
7.	Develop new Council Plan in partnership with Elected Members and Corporate Leadership Team, which will include refreshing the Council's corporate evaluatory tool 'How Good is our Council'	Service Lead - Policy, Performance and Community Planning	31 Mar 23 (revised date HGIOC)	✅ ⚠️	The new Council Plan was developed and agreed by Council in March 2023. Light touch self-evaluation has taken place in Service Planning ahead of a refreshed approach to the Council's corporate evaluatory tool 'How Good is our Council' (HGIOC).
E. Developing the Council's capacity, including the capability of its leadership and the individuals within it					
8.	Review workforce planning to better align it to service planning	Chief Executive	31 Mar 23	✅	Corporate Working Group established to develop a Council Plan for 2022-25. The draft workforce plan was considered by Service and Performance Panel in October 2022 and formally approved by Cabinet in November 2022

F. Managing risk and performance through robust internal control and strong public financial management				
9. The new Enterprise Resource Planning system will promote the adoption of best practice and help drive further improvement in financial management	Service Lead - Corporate Accounting	31 Mar 23 (revised date)		Oracle Fusion now operational, with some changes to financial reporting and management already in place. Having implemented the system, we are now at the stabilise stage where we learn and understand new techniques in terms of how to operate it. Further development will be undertaken during the next stage of the system life-cycle (innovate) in order to drive further improvement.

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Appendix 3 - Delivering Good Governance – Proposed 2023/24 Improvement Actions

Improvement Action	Lead Officer	Due Date	Priority Desirable / Essential
A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law			
1. Introduction of new procedures for the Conflict of Interest Register for Employees	Service Lead – Democratic Services	31-Jul-2023	Desirable
B. Ensuring openness and comprehensive stakeholder engagement			
2. Development of an integrated assessment tool incorporating equalities, health in all policies, Fairer Scotland Duty etc. to ensure key strategic priorities are considered at the start of the policy development process with review of effectiveness and relevance reported to Panel (including governance to ensure Climate Change considerations in line with delivery of the Council's Climate Change Strategy and Climate Change Policy) (Link to A and C)	Service Lead -Policy, Performance & Community Planning	15-Dec-2023 *(revised)*	Essential
3. Governance through reporting by Officers to ensure consultation data and findings are published	Service Lead – Thriving Communities	31-Mar-2024	Desirable
4. Review of Ayrshire Roads Alliance Operational Arrangements	Director – Housing, Operations and Development	31-Mar-2024	Desirable
C. Defining outcomes in terms of sustainable economic, social, and environmental benefits			
5. Revision of the Council's Land and Property Asset Management Plan	Service Lead - Asset Management and Community Asset Transfer	30-Sep-2023 *(revised)*	Desirable
D. Determining the actions necessary to optimise the achievement of the intended outcomes			
6. Review of the Health and Social Care Partnership Adult Mental Health Strategy	Head of Community Health & Care Services	31-Mar-2024 *(revised)*	Essential
7. Refresh the Council's corporate evaluatory tool 'How Good is our Council'	Service Lead - Policy, Performance & Community Planning	31-Mar-2024 *(revised)*	Essential
E. Developing the Council's capacity, including the capability of its leadership and the individuals within it			

F. Managing risk and performance through robust internal control and strong public financial management			
8. The new Enterprise Resource Planning system will promote the adoption of best practice and help drive further improvement in financial management	Service Lead – Corporate Accounting	31-Mar-2024 *(revised)*	Desirable
G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability			

South Ayrshire Council
Equality Impact Assessment
Scoping Template

Equality Impact Assessment is a legal requirement under the Public Sector Duty to promote equality of the Equality Act 2010. Separate guidance has been developed on Equality Impact Assessment's which will guide you through the process and is available to view here: https://www.south-ayrshire.gov.uk/equalities/impact-assessment.aspx

Further guidance is available here: https://www.equalityhumanrights.com/en/publication-download/assessing-impact-and-public-sector-equality-duty-guide-public-authorities/

The Fairer Scotland Duty ('the Duty'), Part 1 of the Equality Act 2010, came into force in Scotland from 1 April 2018. It places a legal responsibility on Councils to actively consider ('pay due regard to') how we can reduce inequalities of outcome caused by socio-economic disadvantage, when making strategic decisions. FSD Guidance for Public Bodies in respect of the Duty, was published by the Scottish Government in March 2018 and revised in October 2021. See information here: https://www.gov.scot/publications/fairer-scotland-duty-guidance-public-bodies/

1. Policy details

Policy Title	Review of Year End Assessment re Delivering Good Governance Framework.
Lead Officer (Name/Position/Email)	Catriona Caves

2. Which communities, groups of people, employees or thematic groups do you think will be, or potentially could be, impacted upon by the implementation of this policy? Please indicate whether these would be positive or negative impacts

Community or Groups of People	Negative Impacts	Positive impacts
Age – men and women, girls & boys	-	-
Disability	-	-
Gender Reassignment (Trans/Transgender Identity)	-	-
Marriage or Civil Partnership	-	-
Pregnancy and Maternity	-	-
Race – people from different racial groups, (BME) ethnic minorities and Gypsy/Travellers	-	-
Religion or Belief (including lack of belief)	-	-
Sex – (issues specific to women & men or girls & boys)	-	-

Community or Groups of People	Negative Impacts	Positive impacts
Sexual Orientation – person's sexual orientation i.e. LGBT+, lesbian, gay, bi-sexual, heterosexual/straight	-	-
Thematic Groups: Health, Human Rights & Children's Rights	-	-

3. What likely impact will this policy have on people experiencing different kinds of social disadvantage i.e. The Fairer Scotland Duty (This section to be completed for any Strategic Decisions). Consideration must be given particularly to children and families.

Socio-Economic Disadvantage	Negative Impacts	Positive impacts
Low Income/Income Poverty – cannot afford to maintain regular payments such as bills, food, clothing	-	-
Low and/or no wealth – enough money to meet Basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future	-	-
Material Deprivation – being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure/hobbies	-	-
Area Deprivation – where you live (rural areas), where you work (accessibility of transport)	-	-
Socio-economic Background – social class i.e. parent's education, employment and income	-	-

4. Do you have evidence or reason to believe that the policy will support the Council to:

General Duty and other Equality Themes Consider the 'Three Key Needs' of the Equality Duty	Level of Negative and/or Positive Impact (High, Medium or Low)
Eliminate unlawful discrimination, **harassment and victimisation**	Low
Advance equality of opportunity between people who share a protected characteristic and those who do not	Low
Foster good relations between people who share a protected characteristic and those who do not. (Does it tackle prejudice and promote a better understanding of equality issues?)	Low
Increase participation of particular communities or groups in public life	Low
Improve the health and wellbeing of particular communities or groups	Low
Promote the human rights of particular communities or groups	Low
Tackle deprivation faced by particular communities or groups	Low

5. Summary Assessment

Is a full Equality Impact Assessment required? (A full Equality Impact Assessment must be carried out if impacts identified as **Medium and/or High**)	~~YES~~ **NO**
Rationale for decision: **This report asks members to review the 2022/23 year end assessment against the Council's Delivering Good Governance Framework. The review has no specific equality implications**	
Signed : Wynne Carlaw Service Lead – Democratic Governance **Date:** 1st June 2023	