
Report to: Council

Date of Meeting: 1 October 2026

Subject: HR Policies

Report by: Senior Manager (HR and Workforce Development)

1.0 Purpose

- 1.1. This paper invites Council to approve the revised Student Placement Procedure, and the new Artificial Intelligence Policy, Data Protection Policy and Procedure and Gambling Awareness Policy and Procedure and agree progression to Council for approval.

2.0 Recommendations

Council are asked to:

- 2.1. Agree that the policies and procedures, as tabled, are formally approved.
- 2.2. Note the attached Equality/Fairer Scotland Impact Assessments.

3.0 Considerations

- 3.1. HR and Workforce Development continues, as part of its rolling programme, to review and update the Council's policies and procedures related to HR, H&S, OD and Payroll.
- 3.2. In order to ensure collaborative and partnership working the Council's policy group, which comprises TU colleagues, Management and HR, meet regularly to review and agree new/revised policies and procedures.
- 3.3. At the Policy Group meeting held in April and Tripartite in September, the Student Placement Procedure was approved to progress to Council. This was a review of a current procedure which is in place to support managers with this process and ensure consistency and compliance across the Council.
- 3.4. Artificial intelligence offers significant opportunities to improve the way the Council delivers services, supports employees and makes better use of information. Introducing a clear AI Policy will provide a consistent framework for the safe, ethical and responsible use of AI, ensuring that innovation is balanced with appropriate governance, transparency, data protection and human oversight.

- 3.5. Information Governance continue to review and update the Council's policies and procedures related to data protection and information governance, including this new policy for Data Protection.
- 3.6. The Council's new Gambling Awareness Policy and Procedure aligns with our commitment to the Gambling Awareness Charter. The RCA Trust recently visited Kilncraigs to present our chief executive Nikki Bridle with their Gambling Awareness Charter. By signing up to the charter we are committing to work collaboratively to help address gambling related harms at a workplace level. All employers have a duty of care and should be aware of the supports and help to an individual at risk of, experiencing or affected by gambling related harms in the same way that they have a duty of care when it comes to alcohol and drugs within the workplace. This commitment is important considering the impact that gambling has on households in Clackmannanshire. This policy and supporting procedure was welcomed by Trade Unions as a positive step.

4.0 Implications

- 4.1. None

5.0 Resource Implications

Financial Details

- 5.1. N/A

Staffing

- 5.2. TUs have been consulted in the development of the policies and procedures.

6.0 Exempt Reports

- 6.1. Is this report exempt? Yes ☐ (please detail the reasons for exemption below) No ☒

7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

- (1) **Our Priorities** (Please double click on the check box ☒)

Clackmannanshire will be attractive to businesses & people and ensure fair opportunities for all	☒
Our families; children and young people will have the best possible start in life	☒
Women and girls will be confident and aspirational, and achieve their full potential	☒
Our communities will be resilient and empowered so that they can thrive and flourish	☐

(2) **Council Policies** (Please detail)

8.0 Equalities Impact

8.1 Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

Yes ☒ No ☐

9.0 Legality

9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes ☒

10.0 Appendices

10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Student Placement Procedure

Student Placement EQIA

AI Policy

AI EQIA

Data Protection Policy

Data Protection EQIA

Gambling Awareness Policy

Gambling Awareness Procedure

Gambling Awareness EQIA

11.0 Background Papers

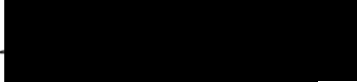
11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)

Yes ☐ (please list the documents below) No ☒

Author(s)

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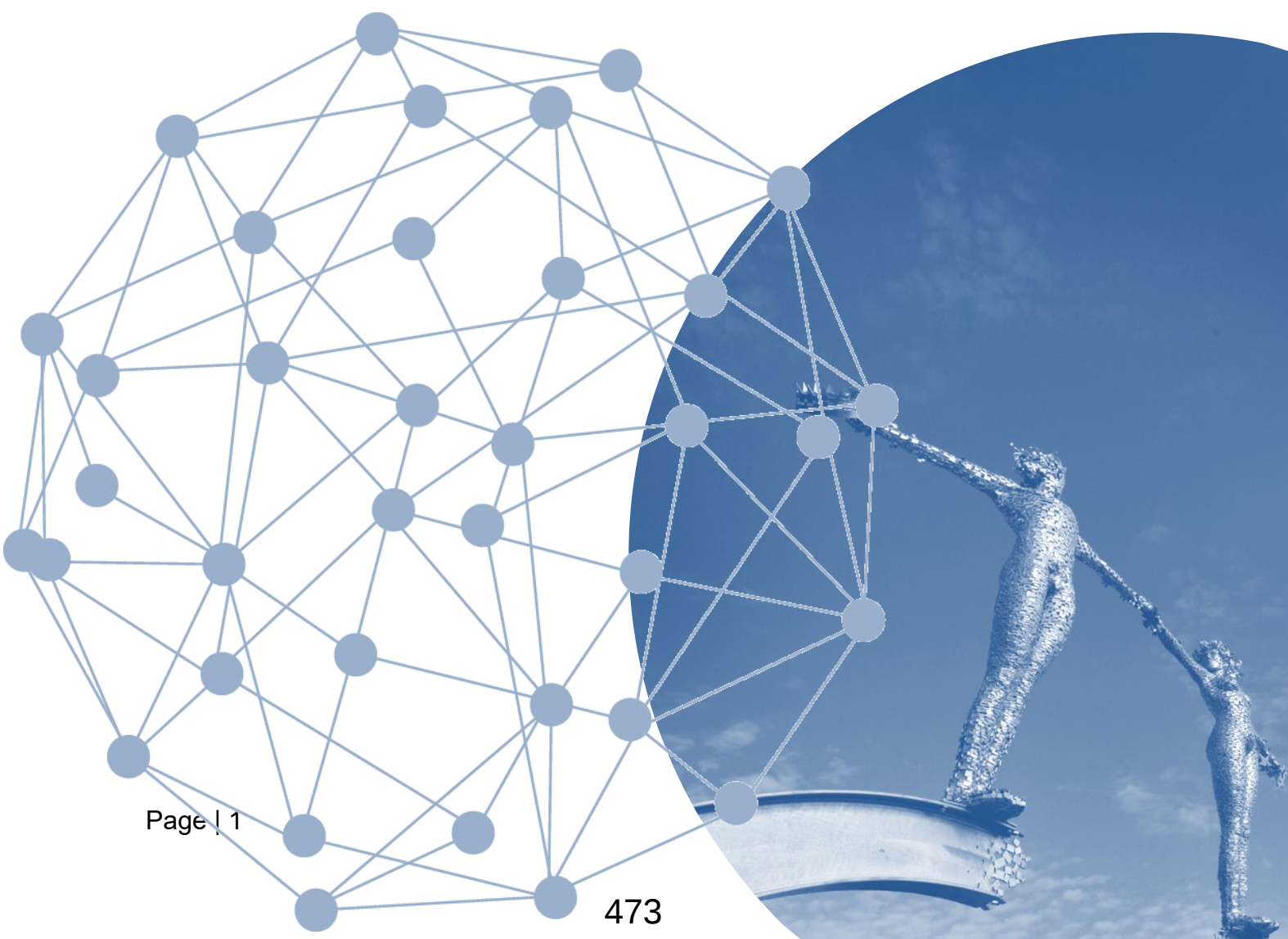
Approved by

NAME	DESIGNATION	SIGNATURE
Chris Alliston	Head of Corporate Services	



Student Placement Procedure

2026



DOCUMENT CONTROL SHEET:

Key Information:

Title:	Student Placement Procedure
Date Issued:	<u>January 2019 tbc</u>
Date Effective From:	<u>May 2019 tbc</u>
Version Number:	4.0 tbc
Document Type:	Procedure
Document Status:	Final
Author:	Dawn Goodwin
Owner:	HR Department
Approver:	Council
Approved by and Date:	<u>Council - May 2019 tbc</u>
Contact:	HR Department

Revision History:

Version: 0.1	Date: 09.01.19	Summary of Changes Initial draft	Name: Dawn Goodwin	Changes Marked: Yes
0.2	28.01.19	Incorporating HR comments	Dawn Goodwin	N/A

0.3	20.02.2026	Revised Version	Stacey Wright	NA
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STUDENT PLACEMENT PROCEDURE

1. Procedure Statement

This procedure is to be used by managers who are considering requests for work experience. It covers a variety of circumstances.

As a major employer in Clackmannanshire, the Council accepts a responsibility to provide meaningful work experience as an opportunity for participants to gain an understanding of the requirements of the particular occupational area and increasing a student's skills and knowledge where they are placed.

2. Who does this procedure apply to:

Students on work experience, school placements and those undertaking work shadowing.

3. Monitoring and Review

HR will monitor the effectiveness of the procedure on an ongoing basis. Revisions and updates will be implemented by the Council following, if appropriate, consultation with recognised Trade Unions.

1.0 Introduction

1.1 This procedure is to be used by managers who are considering requests for work experience. It covers a variety of circumstances.

1.2 As a major employer in Clackmannanshire, the Council accepts a responsibility to provide meaningful work experience as an opportunity for participants to gain an understanding of the requirements of the particular occupational area and increasing a student's skills and knowledge where they are placed.

1.3 The provision of work experience is considered to be an important public relations exercise for the Council in the local community, in addition to providing the opportunity to attract applicants to future positions.

2.0 What is not covered by this Procedure

2.1 Student internship placements – this procedure is not applicable to students who are on placement as part of a higher education course or further study course, for example social work students or student teachers who are placed with schools in the Council, in conjunction with the relevant Services and their Universities. Separate procedures/arrangements are currently in place with services and course providers for these placements, and should be referred to as required.

2.2 Volunteers - are covered by a separate procedure.

2.3 Apprenticeships - are also not covered by this Procedure. Apprenticeships will be advertised locally on myJobScotland and individuals will be appointed through the Council's Recruitment and Selection procedure.

3.0 Examples of placements:

3.1 Work Experience

Placements from individuals who are in disadvantaged groups within the community, or are under-represented in our workforce. This will help develop links with the community, give useful work experience to individuals and bring an increased diversity to the workforce. The duration of the placement will be dependent on the needs of the individual, in conjunction with the Council's requirements.

3.2 School placements

The Council will, if possible, provide work experience placements to students from schools within the Clackmannanshire area. Although some tasks may be performed it is more an opportunity to watch and learn. Students would be supervised by a nominated employee for the duration of the placement. The placement would normally be a maximum of 2 weeks.

3.3 Students who are undertaking a higher education course or further study course

If ad hoc requests from students are received and can be accommodated, managers should contact the university/college to discuss the placement to determine if it is suitable and the student requirements can be met.

3.4 Work shadowing

Work shadowing is simply observing the activities of an employee(s) in their day to day job. Certain jobs will not be suitable for job shadowing due to the nature of the work and issues around health, safety and confidentiality. This would normally only last a few days but can extend to a maximum of 2 weeks. Work shadowing can help to give placements an understanding of the work place and the job role that they are considering for a future career.

4.0 Approval of work experience placements

4.1 The relevant manager of the appropriate service will ultimately determine whether or not a work experience participant can be accommodated. Completion of Appendix 1 is essential for all work placement applications.

5.0 Duration of work experience

5.1 The duration of work experience should generally be:

- A maximum of 2 weeks for secondary school students
- A maximum of 12 weeks where the placement is a required part of a UK further or higher education course.

This is usually conducted in a single block, however single or half days over a period of time may be approved at the discretion of the Service Manager in consultation with Human Resources.

6.0 Responsibilities

6.1 RESPONSIBILITIES OF THE SERVICE

The Service shall:

- Ensure that work experience/placement is not provided in operational areas that pose potentially serious occupational health and safety risks.
- Carry out and document risk assessments and ensure appropriate systems of work are put into operation.
- Ensure that supervisors are aware that their legal responsibilities and obligations under health and safety legislation extend to the person on placement.
- Ensure that prior to placement, appropriate training is undertaken by the person on placement to ensure they meet relevant occupational health and safety requirements.
- Ensure that work experience is not provided in areas that may compromise the confidentiality of the Council's business. Work experience placements will not normally have access to information maintained on Council systems.
- Ensure the participant has a clear understanding of roles and boundaries, including issues of confidentiality.

- Allocate a responsible person to supervise the placement, ensuring the mentor/supervisor has the resources and capacity to take on the role.
- Ensure that an appropriate induction programme is provided to ensure that the person on placement is introduced to organisational practices, procedures, including emergency procedures and can be fully supervised at all times.
- Ensure checklists are signed to record details of the induction process.
- Complete any required reviews for the work experience performance during the period of the placement.
- Consider if the placement opportunity can be used to contribute to service development, e.g. through projects that would not otherwise be possible.
- Ensure when offering placements which includes project work that this will not prevent a redeployee or other employee undertaking this.
- Make sure staff are aware of any specific role they may play in relation to the placement.
- Provide the work experience/person on the placement with details of the appropriate contact officer in case of emergency or inability to attend.
- Maintain records of the person on placement's attendance.

6.2 RESPONSIBILITY OF THE PERSON ON WORK PLACEMENT

The work experience placement shall:

- Provide the Council with a completed Work Experience application form (Appendix 1) and any documentation from the relevant institution/organisation to demonstrate the work placement is an approved part of a relevant program or course of study.
- Comply with all Council Policy, procedures, relevant legislation and regulations and the reasonable lawful instructions of the work experience supervisor.
- Comply with Council's standards of professional behaviour including courtesy and confidentiality during the period of their work experience.

- Contact the Council officer designated as their supervisor during the period of the work experience within 30 minutes of the agreed starting time, should they be unable to attend on any particular day.
- Discuss any issues or concerns relating to the work experience activities assigned to them with the Council officer designated as their supervisor, the Council's Human Resources team and/or the work experience supervisor from the relevant institution
- Ensure that they are appropriately attired, taking into consideration the nature of the duties, occupational health and safety requirements and contact with the public.

6.3 RESPONSIBILITIES OF HR SERVICES

The HR team shall:

- Develop and maintain the policy and procedures associated with requesting and carrying out work experience placements.
- Store and manage any documentation obtained to support the work experience placement, including any contact details.
- Advise on any clearances required.

6.4 Clearances

Where a placement involves contact with children or protected adults, the Council will assess whether the role constitutes regulated work under the Protection of Vulnerable Groups (Scotland) Act 2007.

Students will not be permitted to undertake regulated work unless appropriate safeguarding arrangements are in place. This may include supervision at all times and/or PVG membership, depending on the nature of the placement.

In some settings, placements may not be suitable due to safeguarding considerations. These decisions will be made on a case-by-case basis by Service Manager and Human Resources.

7.0 Under-18s & Young Persons

Additional safeguards will apply where students are under the age of 18. Risk assessments will take account of the student's age, maturity, and experience, and students will not be placed in environments or assigned tasks that present an unacceptable level of risk.

Working hours, supervision arrangements (see above 6.4), and duties will comply with relevant health and safety legislation relating to young persons. Managers must seek advice from Health and Safety to ensure an appropriate risk assessment is completed prior to the student starting their placement. Risk assessments must be proportionate to the nature of the placement and reviewed if circumstances change.

8.0 Miscellaneous

- Insurance – all staff, whether undertaking voluntary or paid/unpaid work, are covered by The Council's Employers Liability Insurance.
- ID badges will be provided for all students and will clearly state "Student/Work Placement"
- Students must not replace paid staff or undertake duties beyond the scope of learning and observation.
- Where a Service has a vacancy which needs to be filled quickly, is of short duration, which may be suitable for students, the normal recruitment protocols should be followed.
- Payments are not normally made by the Council for work experience placements. Participants are not engaged as employees of the Council. Employment status and any entitlement to payment will be determined in accordance with relevant employment legislation, including National Minimum Wage requirements. Where there is any uncertainty, advice must be sought from Human Resources to ensure compliance with HMRC guidance.

9.0 Processing Personal Data

9.1 The Council processes personal data collected as part of their Procedures, in accordance with its Data Protection Policy. In particular, data collected as part of this process is held securely and accessed by, and disclosed to individuals only for the purposes necessary to action and manage this policy.

10.0 Monitoring and Review

10.1 HR shall monitor the effectiveness of this guidance on an ongoing basis. Amendments will be made as and when deemed necessary and, where appropriate, after consultation with recognised trade unions.

For additional clarification please refer to your Service HR Business Partner.

Equality Impact Assessment

Policy Name	Student Placement Procedure
Department	Human Resources
Policy Lead	Dawn Goodwin
Equality Impact Assessment	
Stage 1 EQIA completed	Yes
Stage 2 EQIA completed	Yes
* If no please provide rationale Procedure does not negatively impact on any group which falls within any of the 9 protected characteristics	
Date Approved	June 2019
Review Date	June 2021





Equality and Fairer Scotland Impact Assessment (EFSIA) Summary of Assessment

Title:

Student Placement

Key findings from this assessment (or reason why an EFSIA is not required):

Assessment is required

Summary of actions taken because of this assessment:

Consultation with the Councils Policy Group

Ongoing actions beyond implementation of the proposal include:

Monitoring to ensure policy and procedure are applied consistently across the Council.
Ongoing review and consultation of the Policy and Procedure.

Lead person(s) for this assessment:

Stacey Wright – HR Business Partner

Senior officer approval of assessment:

Strategic Director (Partnership & Performance)

DATE: February 2026

Equality and Fairer Scotland Impact Assessment (EFSIA)

An Equality and Fairer Scotland Impact Assessment (EFSIA) must be completed in relation to any decisions, activities, policies, strategies or proposals of the Council (referred to as 'proposal' in this document). The first stage of the assessment process will determine the level of impact assessment required.

This form should be completed using the guidance contained in the document: ['NAME']. Please read the guidance before completing this form.

The aim of this assessment is to allow you to critically assess:

- the impact of the proposal on those with protected characteristics and, where relevant, affected by socio-economic disadvantage (referred to as 'equality groups' in this document);
- whether the Council is meeting its legal requirements in terms of Public Sector Equality Duty and the Fairer Scotland Duty;
- whether any measures need to be put in place to ensure any negative impacts are eliminated or minimised.

The Fairer Scotland Duty requires public authorities to pay 'due regard' to how they can reduce inequalities of outcome caused by socio-economic disadvantage, when making **strategic decisions**. Strategic decisions are key, high-level decisions such as decisions about setting priorities, allocating resources, delivery or implementation and commissioning services and all decisions that go to Council or committee for approval.

Step A – Confirm the details of your proposal

1. Describe the aims, objectives and purpose of the proposal.

To set out a clear procedure for student placement, this is to ensure that all individuals are treated fairly and with respect. Having this procedure in place promotes equality and inclusion.

2. Why is the proposal required?

HR Policies and Procedure are reviewed on a regular basis, usually every 2-3 years to ensure they remain appropriate, up to date and in line with any legislative or other relevant changes. This procedure is designed for managers considering requests of work experience. However, it does also cover a variety of different circumstances.

3. Who is affected by the proposal?

The procedure is to protect individuals on placement but also to best support managers, especially when considering requests for student placement.

4. What other Council policies or activities may be related to this proposal? The EFSIAs for related policies might help you understand potential impacts.

Health & Safety, Learning Development Policies, Equality and Diversity, Data protection...

5. Is the proposal a strategic decision? If so, please complete the steps below in relation to socio-economic disadvantage. If not, please state why it is not a strategic decision:

No this is not a strategic decision. This proposal relates to operational delivery of existing council functions; it's intended to support learning and development opportunities within an existing structure.

There is no significant socio-economic disadvantage in the proposal – it's targeted at a small scale of people, doesn't target those experiencing this, benefits are individual and short term.

Step B – Consider the level of EFSIA required

You should consider the available evidence and data relevant to your proposal. You should gather information in order to:

- help you to understand the importance of your proposal for those from equality groups,
- inform the depth of EFSIA you need to do (this should be proportionate to the potential impact), and
- provide justification for the outcome, including where it is agreed an EFSIA is not required.

6. What information is available about the experience of those with protected characteristics in relation to this proposal? Does the proposal relate to an area where there are already known inequalities? Refer to the guidance for sources of evidence and complete the table below.

Equality Group	Evidence source (e.g. online resources, report, survey, consultation exercise already carried out)	What does the evidence tell you about the experiences of this group in relation to the proposal? NB Lack of evidence may suggest a gap in knowledge/ need for consultation (Step C).
Age	Scottish Government – Developing the Young Workforce (DYW), Skills Development Scotland (SDS), Equality and Human Rights Commission (EHRC), MyGov.scot	Student placements are linked to education and training. As a result, participants are typically younger. Placements are primarily intended to support work experience for school pupils and students in further or higher education. This is standard practice and is not intended to discriminate on the basis of age.
Disability	“	No negative impacts have been identified for students with disabilities. Reasonable adjustments would be considered, where required, to ensure individuals are able to undertake a placement.
Race	“	No negative impacts have been identified for students of any race. Race would not be a consideration in determining eligibility for a student placement within the Council.
Sex	“	No negative impacts have been identified for students of any sex. Sex would not be a consideration in determining eligibility for a student placement within the Council.
Gender Reassignment	“	No negative impacts have been identified for students who are contemplating, undergoing, or have undergone gender reassignment. Gender reassignment would not be a consideration in determining eligibility for a student placement within the Council.
Sexual orientation	“	No negative impacts have been identified in relation to sexual orientation. Sexual orientation would not be a consideration in determining eligibility for a student placement within the Council.
Religion or Belief	“	No negative impacts have been identified in relation to religion or belief. Religion or belief would not be a consideration in determining eligibility for a student placement within the Council.
Pregnancy or maternity	“	No negative impacts have been identified in relation to pregnancy or maternity. The proposal does not restrict access based on pregnancy or maternity status, and reasonable adjustments would be offered where required.
Marriage or civil partnership (only the first aim of the Duty is relevant to this protected characteristic and only in relation to work matters)	“	No impacts have been identified in relation to marriage or civil partnership status. The proposal does not differentiate on this basis.

Equality Group	Evidence source (e.g. online resources, report, survey, consultation exercise already carried out)	What does the evidence tell you about the experiences of this group in relation to the proposal? NB Lack of evidence may suggest a gap in knowledge/ need for consultation (Step C).
Socio economic disadvantage (if required)	“	As outlined in point 5, the proposal is not expected to have a significant impact on socio-economic disadvantage. The placement is limited in scale, does not target people experiencing socio-economic disadvantage, and any benefits are individual and short-term.

7. Based on the evidence above, is there relevance to some or all of the equality groups? Y/ N/ unclear

The proposal mainly has relevance to age but as outlined above Student placements are linked to education and training. As a result, participants are typically younger. Placements are primarily intended to support work experience for school pupils and students in further or higher education. This is standard practice and is not intended to discriminate on the basis of age.

For all other equality groups there is no specific relevance identified.

If yes or unclear, proceed to further steps and complete full EFSIA

If no, explain why below and then proceed to Step E:

Step C – Stakeholder engagement

This step will help you to address any gaps in evidence identified in Step B. Engagement with people who may be affected by a proposal can help clarify the impact it will have on different equality groups. Sufficient evidence is required for you to show 'due regard' to the likely or actual impact of your proposal on equality groups.

- 8. Based on the outcome of your assessment of the evidence under Step B, please detail the groups you intend to engage with or any further research that is required in order to allow you to fully assess the impact of the proposal on these groups. If you decide not to engage with stakeholders, please state why not:**

The procedure has been developed in consultation with recognised trade unions, along with elected manager representatives, all who will be involved in the review of the draft procedure at policy group. Discussion will take place at policy group on the content of the procedure and suggested amendments/additions will be agreed collectively. The Policy needs to be agreed at Council before it can be implemented.

- 9. Please detail the outcome of any further engagement, consultation and/or research carried out:**

Procedure due to go to Policy Group in March 2026 therefore feedback in terms of the impact on each equality group is still to be given.

Step D - Impact on equality groups and steps to address this

10. Consider the impact of the proposal in relation to each protected characteristic under each aim of the general duty:

- Is there potential for discrimination, victimisation, harassment or other unlawful conduct that is prohibited under the Equality Act 2010? How will this be mitigated?
- Is there potential to advance equality of opportunity between people who share a characteristic and those who do not? How can this be achieved?
- Is there potential for developing good relations between people who share a relevant protected characteristic and those who do not? How can this be achieved?

If relevant, consider socio-economic impact.

Age	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			x	As per Step B, 'Student placements are linked to education and training. As a result, participants are typically younger. Placements are primarily intended to support work experience for school pupils and students in further or higher education. This is standard practice and is not intended to discriminate on the basis of age'.
potential for developing good relations			x	No impact – No mitigation required
potential to advance equality of opportunity	x		x	The procedure supports young people by providing structured access to work experience opportunities at an early stage, helping to develop skills, confidence and understanding of the workplace. This can contribute positively to future employability. The procedure ensures access is fair, transparent and applied consistently across the Council.

Disability	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			x	As per Step B, reasonable adjustments would be considered, where required, to ensure individuals are able to undertake a placement.
potential for developing good relations			x	No impact – No mitigation required
potential to advance equality of opportunity	x			Supporting those with a disability to successfully and comfortably undertake a placement.

Race	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			x	As per Step B, Race would not be a consideration in determining eligibility for a student placement within the Council.
potential for developing good relations			x	No impact – No mitigation required

potential to advance equality of opportunity			x	No impact – No mitigation required
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Sex	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			x	As per Step B - Sex would not be a consideration in determining eligibility for a student placement within the Council.
potential for developing good relations			x	No impact – No mitigation required
potential to advance equality of opportunity			x	No impact – No mitigation required

Gender Reassignment	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			x	As per Step B, Gender Reassignment would not be a consideration in determining eligibility for a student placement within the Council.
potential for developing good relations			x	No impact – No mitigation required
potential to advance equality of opportunity			x	No impact – No mitigation required

Sexual Orientation	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			x	As per Step B, Sexual Orientation would not be a consideration in determining eligibility for a student placement within the Council
potential for developing good relations			x	No impact – No mitigation required
potential to advance equality of opportunity			x	No impact – No mitigation required

Religion or Belief	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			x	As per Step B, Religion/Belief would not be a consideration in determining eligibility for a student placement within the Council

potential for developing good relations			x	No impact – No mitigation required
potential to advance equality of opportunity			x	No impact – No mitigation required

Pregnancy/maternity	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			x	As per Step B, reasonable adjustments would be offered where required.
potential for developing good relations			x	No impact – No mitigation required
potential to advance equality of opportunity	x		x	Supporting individuals who are pregnant or have recently returned from maternity by ensuring access to placements is fair and reasonable adjustments can be made where necessary.

Marriage/civil partnership	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination (only the first aim of the Duty is relevant to this protected characteristic and only in relation to work matters)			x	As per Step B, Marriage/Civil Partnership would not be a consideration in determining eligibility for a student placement within the Council

Socio-economic disadvantage	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Yes	No	No impact	
(If required) Will the proposal reduce inequalities of outcome caused by socio-economic disadvantage?		x		As previously noted: the proposal is not expected to have a significant impact on socio-economic disadvantage. The placement is limited in scale, does not target people experiencing socio-economic disadvantage, and any benefits are individual and short-term.

11. Describe how the assessment might affect the proposal or project timeline?

Examples of the items you should consider here include, but are not limited to:

- **Communication plan:** do you need to communicate with people affected by proposal in a specific format (e.g. audio, subtitled video, different languages) or do you need help from other organisations to reach certain groups?
- **Cost:** do you propose any actions because of this assessment which will incur additional cost?
- **Resources:** do the actions you propose require additional or specialist resource to deliver them?
- **Timing:** will you need to build more time into the project plan to undertake research, consult or to complete any actions identified in this assessment?

No additional communication, resource or cost implications have been identified as a result of this assessment.

12. **Having considered the potential or actual impacts of your proposal, you should now record the outcome of this assessment.** Choose from one of the following:

Please select (X)	Implications for the proposal
X	No major change Your assessment demonstrates that the proposal shows no risk of unlawful discrimination and that you have taken all opportunities to advance equality of opportunity and foster good relations, subject to continuing monitoring and review.
	Adjust the proposal and/or implement mitigations You have identified ways of modifying the proposal to avoid discrimination or to better advance equality of opportunity or foster good relations. In addition, or alternatively, you will introduce measures to mitigate any negative impacts. Adjustments and mitigations should be recorded in the tables under Step D above and summarised in the summary sheet at the front of the document.
	Continue the proposal with adverse impact The proposal will continue despite the potential for adverse impact. Any proposal which results in direct discrimination is likely to be unlawful and should be stopped and advice taken. Any proposal which results in indirect discrimination should be objectively justified and the basis for this set out in the tables under Step D above and summarised in the summary sheet at the front of the document. If objective justification is not possible, the proposal should be stopped whilst advice is taken.
	Stop the proposal The proposal will not be implemented due to adverse effects that are not justified and cannot be mitigated.

Step E - Discuss and review the assessment with decision-makers

13. **You must discuss the findings of this assessment at each stage with senior decision makers during the lifetime of the proposal and before you finalise the assessment. Record details of these discussions and decisions taken below:**

Step F – Post-implementation actions and monitoring impact

It is important to continue to monitor the impact of your proposal on equality groups to ensure that your actual or likely impacts are those you recorded. This will also highlight any unforeseen impacts.

14. **Record any post-implementation actions required.**

15. **Note here how you intend to monitor the impact of this proposal on equality groups.**

Review at next scheduled policy review cycle.

Feedback through employees

Feedback through trade unions

16. **Note here when the EFSIA will be reviewed as part of the post-implementation review of the proposal: 2-3 years**

Step G – Assessment sign off and approval

Lead person(s) for this assessment:

Signed:

Date:

Senior officer approval of assessment:

Signed:

Date:

All full EFSIAs must be published on the Council's website as soon as possible after the decision is made to implement the proposal.

AI Policy

Acceptable, Reasonable and Ethical use

Document Control			
Document Owner			
Role			
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0.2	L Pritchard-Woollett	24/07/2025	Document updated following feedback from A Bonner and E Paterson
0.3	L Pritchard-Woollett	01/09/2025	Responsible use principles updated following internal review.
0.4	L Pritchard-Woollett	24/09/2025	Consolidated AI Ethics policy into this document. Added current Education AI tools to acceptable tools
0.5	L Pritchard-Woollett	23/06/2026	Updated following feedback from Union at Policy Group meeting
Document Review and revision			
This guidance will be reviewed whenever guidance, policy or the law is changed but at a minimum every 12 months. Review will be undertaken by the Document owner			

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Purpose

Clackmannanshire Council is committed to harnessing the potential of Artificial Intelligence (AI) to enhance public services while upholding the highest ethical standards.

This policy provides a robust framework to guide the responsible development, procurement, deployment, and governance of AI technologies, ensuring they align with our values of transparency, fairness, accountability, and inclusivity.

Scope

This policy applies to:

- All employees, contractors, and third parties using council-managed technology.
- Any AI systems, services or tools used for generating content, automating tasks, supporting decisions, or analysing data — including but not limited to Microsoft Copilot, ChatGPT, image generators, and predictive models.
- All stages of the AI Lifecycle, including but not limited to, Strategic Planning and procurement, development, configuration and customisation, deployment and decommissioning

Permitted Tools

To ensure security, transparency, and accountability, only the following AI tools are approved for use within Clackmannanshire Council:

- Copilot Chat
 - Permitted for all staff and available through the Microsoft Edge browser, and through the chat windows within Outlook and Microsoft teams.
 - Use is allowed for general work-related tasks, content generation, summarisation, and information support.
- Microsoft 365 Copilot (Copilot for Word, Excel, Outlook, Teams, etc.):
 - Available only to users with an allocated license and an agreed business need, approved by the councils Data and AI Advisory Group
- Google Gemini
 - Permitted for staff and learners when accessed via the Education GLOW network.

- Use is allowed for research, learning support, summarisation, and appropriate content generation in line with curriculum and organisational policies.
- Notebook LM
 - Permitted for staff and learners when accessed via the Education GLOW network.
 - Use is allowed for organising, exploring, and summarising learning materials, with a focus on supporting study, teaching, and professional development.
- Adobe Express (Adobe Firefly)
 - Permitted for staff and learners when accessed in Adobe Express within the Education GLOW network
 - Use is allowed for creative and educational purposes, including image generation, design support and content creation, in line with curriculum requirements and organisational policies

Staff must not use personal accounts to access AI tools for work purposes. Any exception must be risk-assessed, approved, and logged. The Council's Data and AI Advisory Group will be responsible for approving any exceptions.

NOTE: Use of any other AI tools (e.g. ChatGPT web version, Bard, Claude, DALL-E, Midjourney, etc.) are not permitted, unless explicitly approved by the Data and AI Advisory Group and recorded in the Council's AI Register. Access to other AI tools will be restricted by the Council's IT department.

AI principles

Transparency

The council will:

- Clearly indicate on external documents when AI has been used to support decision-making.
- Document where AI is used to create published documents in the public domain such as council policies and communications
- Provide clear, user-friendly explanations of AI-driven outcomes to stakeholders.
- Contribute to the Scottish AI Register, listing all live AI systems, their purpose, and status.
- Maintain an internal AI register, owned by the Data and AI Advisory Group, to track all AI systems, their purpose, and status.

Accountability & Governance

The council will:

- Embed AI ethics reviews into project delivery at key milestones.
- Define clear ownership for all AI systems, with documented roles and responsibilities.
- Ensure the Data and AI Advisory Group provides oversight, monitoring, and escalation routes for concerns.

Fairness, Non-Discrimination & Equity

The council will:

- Conduct bias assessments and fairness testing on training datasets and model outputs through the Digital Transformation Team Bias Testing framework.
- Implement corrective measures when bias or disparate impacts are identified.
- Ensure AI use promotes fairness, accessibility, and inclusion for people with protected characteristics, and digitally excluded communities.
- Require Equality and Fairer Scotland Impact Assessments for AI tools used in high-impact services, such as when AI systems are used to support decisions, allocate resources, determine eligibility, assess risk, or otherwise have a significant impact on residents, communities, or staff
- Where relevant, review AI use against the UNCRC, recognising children's rights to privacy, protection, fairness, and participation.
- Require staff to report concerns about bias, discriminatory outcomes, or inappropriate results to the Data and AI Advisory Group.

Data Protection & Privacy

The council will:

- Comply with UK GDPR, the Data Protection Act 2018, and Council information governance policies.
- Prioritise the use of anonymised or pseudonymised data, minimising use of personal data.
- Conduct Data Protection Impact Assessments (DPIAs) for all AI systems handling personal or sensitive information, completed by the Digital Transformation team
- Keep privacy notices up to date when AI is introduced or changed.
- Prohibit the use of public or unapproved AI services to process identifiable or protected information.

Safety, Security & Reliability

The council will:

- Carry out risk assessments covering cybersecurity, operational, reputational, and safety risks.
- Test AI systems under realistic scenarios before live deployment.
- Define fallback mechanisms and ensure human override capabilities are in place.
- Monitor AI system performance to detect errors, drift, or misuse.

Human Oversight & Control

The council will:

- Ensure human review and sign-off for critical or high-impact decisions, such as when AI systems are used to support decisions, allocate resources, determine eligibility, assess risk, or otherwise have a significant impact on residents, communities, or staff
- Provide staff with guidance and training on interpreting AI recommendations and recognising AI limitations.
- Ensure AI enhances, rather than replaces, professional judgement.

Environmental & Social Responsibility

The council will:

- Consider the environmental impacts of AI use, including infrastructure energy consumption.
- Seek to use energy efficient AI solutions and encourage vendors to evidence sustainability practices
- Promote digital inclusion by supporting staff and community education on AI literacy.
- Seek to use AI in ways that deliver positive social outcomes for the community, such as:
 - Enhancing accessibility through translation, summarisation and assistive technologies
 - Supporting staff to spend more time on high-value, citizen facing activities
 - Improving access to council information and services

Acceptable Use

Permitted uses of AI tools include:

- Drafting, summarising or refining emails, reports, and documents
- Generating templates, lists, or structured content for work tasks
- Supporting analysis of non-personal or anonymised datasets
- Enhancing productivity in communications, planning, or presentations

Use must always:

- Adheres to existing IT usage policies
- Occur in approved, secure platforms.
- Follow other relevant council policies.

Unacceptable Use

AI tools must not be used to:

- Process or input personal, sensitive, or confidential data, unless approved by the Data and AI Advisory Group.
- Automate decisions impacting individuals without safeguards and human oversight.
- Generate legal advice, policy statements, or official communications without review.
- Be a substitute for collaboration with colleagues or for seeking professional or technical advice such as Finance, Legal, or HR .
- Should not be used in disciplinary, grievance or safeguarding cases unless explicitly approved
- Produce discriminatory, offensive, or misleading content.
- Access or use unapproved AI tools or platforms.

Training and Support

Before using AI tools, staff must:

- Complete mandatory training, with an annual refresher required.
- Understand and agree to this policy.
- Use tools only for purposes they are trained and authorised for
- Failure to complete and maintain mandatory training will result in removal of access to Copilot and other AI tools until training is brought up to date.

Support is available through:

- Digital Transformation Team
- Data and AI Advisory Group
- Digital Champions

Governance Framework

- Oversight of the councils AI usage will be achieved through the following governance framework:
- Data and AI Advisory Group will provide oversight and guidance on AI usage within the organisation.
- AI Lifecycle management: The council will integrate ethics and risk checkpoints into procurement, development, and operations processes.
- Reporting and Escalation: the council has clearly defined processes for incident reporting, ethical concerns, and regulatory notifications relation to AI, with the Data and AI Advisory Group acting as the AI governing body.
- Ultimate accountability for AI use rests with the Council's Executive AI Sponsor. The Data and AI Advisory Group will maintain the AI Register and oversee operational governance, while the AI Ethics Lead provides day-to-day assurance.

Roles & Responsibilities

The council will have the following roles and forums to provide oversight of AI usage:

- Executive AI sponsor
- Data and AI advisory Group
- AI Ethics Lead
- Data protection officer

Breaches and Enforcement

Breaches of this policy may lead to individuals being subject to measures under the Councils Disciplinary Policy.

Misuse of AI tools may also be reported to external regulators (e.g. ICO) where legally required

Acknowledgement

Users should be aware that interactions with AI systems may be logged by providers and could be subject to disclosure in legal proceedings. Staff must therefore treat all AI inputs and outputs as potentially discoverable records.



Equality and Fairer Scotland Impact Assessment (EFSIA) Summary of Assessment

Title:

Responsible, Acceptable and Ethical Use of Artificial Intelligence Policy – Equality and Fairer Scotland Impact Assessment

Key findings from this assessment (or reason why an EFSIA is not required):

This assessment has identified that the policy will have both positive and potential negative impacts on individuals and groups with protected characteristics, as well as those experiencing socio-economic disadvantage.

Positive impacts include:

- Improved accessibility through AI-enabled tools (e.g. summarisation, translation, assistive technologies)
- Increased efficiency of services, allowing more focus on citizen-facing activities
- A strong governance framework designed to promote fairness, transparency, accountability, and inclusion

Potential risks include:

- Bias or discriminatory outcomes arising from AI systems or data
- Digital exclusion, particularly for older people, disabled people, or those experiencing socio-economic disadvantage
- Risks where AI is used to support decision-making affecting individuals

The policy explicitly recognises these risks and includes mitigating measures such as bias testing, human oversight, restrictions on use, and governance through the Data and AI Advisory Group. A full EFSIA is therefore appropriate to ensure impacts are identified and managed

Summary of actions taken because of this assessment:

- Embedded a commitment to fairness, non-discrimination, and inclusion within the AI principles
- Introduced requirements for bias testing and fairness assessments for AI systems
- Required human oversight and decision-making safeguards for high-impact uses
- Included a requirement for Equality and Fairer Scotland Impact Assessments and Data Protection Impact Assessments for high-risk AI use cases
- Restricted use of AI tools to approved, secure platforms only
- Prohibited use of AI in high-risk contexts (e.g. disciplinary, grievance or safeguarding) without explicit approval
- Established governance through the Data and AI Advisory Group
- Introduced mandatory training for staff using AI tools

These actions aim to minimise risk and ensure compliance with equality and data protection duties.

Ongoing actions beyond implementation of the proposal include:

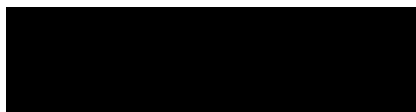
- Monitoring AI use through the Council's AI Register and governance structures
- Regular review of the policy (at least annually) to respond to emerging risks, changes in legislation, and technological developments
- Continued staff training and awareness programmes on responsible AI use
- Reviewing and responding to any reported incidents, bias, or unintended impacts
- Supporting services to undertake EFSIA and DPIA assessments for specific AI use cases
- Promoting digital inclusion and AI literacy across staff and communities

These ongoing actions will support continuous improvement and alignment with equality duties.

Lead person(s) for this assessment:

Luke Pritchard-Woollett, Data and AI Project Manager, Digital Transformation Team

Senior officer approval of assessment:



DATE: 22/07/26

Equality and Fairer Scotland Impact Assessment (EFSIA)

An Equality and Fairer Scotland Impact Assessment (EFSIA) must be completed in relation to any decisions, activities, policies, strategies or proposals of the Council (referred to as 'proposal' in this document). The first stage of the assessment process will determine the level of impact assessment required.

This form should be completed using the Council's Equality and Fairer Scotland Impact Assessment guidance. Please read the guidance before completing this form.

The aim of this assessment is to allow you to critically assess:

- the impact of the proposal on those with protected characteristics and, where relevant, affected by socio-economic disadvantage (referred to as 'equality groups' in this document);
- whether the Council is meeting its legal requirements in terms of Public Sector Equality Duty and the Fairer Scotland Duty;
- whether any measures need to be put in place to ensure any negative impacts are eliminated or minimised.

The Fairer Scotland Duty requires public authorities to pay 'due regard' to how they can reduce inequalities of outcome caused by socio-economic disadvantage, when making **strategic decisions**. Strategic decisions are key, high-level decisions such as decisions about setting priorities, allocating resources, delivery or implementation and commissioning services and all decisions that go to Council or committee for approval.

Step A – Confirm the details of your proposal

1. Describe the aims, objectives and purpose of the proposal.

The purpose of this proposal is to introduce a corporate policy for the responsible, acceptable and ethical use of Artificial Intelligence (AI) across Clackmannanshire Council.

The policy aims to:

- Provide a clear framework for the safe, lawful, and ethical use of AI technologies
- Support the adoption of AI to enhance productivity and service delivery
- Ensure that AI use aligns with the Council's values of fairness, transparency, accountability, and inclusion
- Establish governance arrangements for the development, procurement, deployment, and monitoring of AI systems

The policy also sets out clear expectations for staff, including the use of approved tools, restrictions on high-risk uses, and requirements for training and oversight.

2. Why is the proposal required?

The proposal is required to ensure that the growing use of AI technologies within the Council is managed safely, consistently, and in compliance with legal and ethical standards.

In particular, the policy is needed to:

- Ensure compliance with UK GDPR, the Data Protection Act 2018, and equality legislation
- Mitigate risks associated with AI, including bias, discrimination, privacy breaches, and misuse
- Provide clarity to staff on what constitutes acceptable and unacceptable use of AI tools
- Establish clear governance and accountability structures, including oversight by the Data and AI Advisory Group
- Enable the Council to realise the benefits of AI (e.g. improved efficiency, accessibility, and service delivery) while minimising risks

3. Who is affected by the proposal?

The proposal affects:

- All Council employees, contractors and third parties who use or may use AI tools
- Residents and service users, where AI is used to support service delivery, decision-making, or access to information

Specific groups, including:

- Individuals with protected characteristics (e.g. age, disability, race, sex, etc.)
- People experiencing socio-economic disadvantage
- Digitally excluded individuals
- Children and young people, particularly in education contexts

The policy applies across all services and covers the full lifecycle of AI use.

4. What other Council policies or activities may be related to this proposal? The EFSIAs for related policies might help you understand potential impacts.

This proposal is related to a number of existing Council policies and frameworks, including:

- Data Protection and Information Governance policies
- ICT Acceptable Use policies
- Records Management and Information Security policies
- Equality and Diversity policies
- Digital Transformation and Data strategies

These related policies help provide a broader governance context. EFSIAs completed for these areas may offer supporting evidence on equality impacts, particularly in relation to digital access, data use, and service delivery.

5. Is the proposal a strategic decision? If so, please complete the steps below in relation to socio-economic disadvantage. If not, please state why it is not a strategic decision:

Yes – this is considered a strategic decision. The policy sets a corporate framework for the use of AI across the Council, including how AI may be used in service delivery, decision-making, and resource allocation. It has the potential to influence:

- How services are delivered
- How decisions affecting residents and staff are supported or informed
- How resources and technology are deployed across the organisation

As such, the proposal meets the definition of a strategic, high-level decision and requires consideration of impacts in relation to socio-economic disadvantage under the Fairer Scotland Duty.

Step B – Consider the level of EFSIA required

You should consider the available evidence and data relevant to your proposal. You should gather information in order to:

- help you to understand the importance of your proposal for those from equality groups,
- inform the depth of EFSIA you need to do (this should be proportionate to the potential impact), and
- provide justification for the outcome, including where it is agreed an EFSIA is not required.

6. What information is available about the experience of those with protected characteristics in relation to this proposal? Does the proposal relate to an area where there are already known inequalities? Refer to the guidance for sources of evidence and complete the table below.

Equality Group	Evidence source (e.g. online resources, report, survey, consultation exercise already carried out)	What does the evidence tell you about the experiences of this group in relation to the proposal? NB Lack of evidence may suggest a gap in knowledge/ need for consultation (Step C).
Age	National evidence on digital inclusion; internal policy development discussions; engagement with IT, Digital Champions and senior management	Evidence shows variation in digital literacy and access, particularly affecting older people. Engagement highlighted the importance of training, guidance and support for staff with different levels of digital confidence. There is potential for improved accessibility but also risk of exclusion if support is not in place.
Disability	National accessibility evidence; engagement with Digital Champions, IT, and Data Protection Officer	Evidence shows AI can enhance accessibility (e.g. summarisation, assistive tools), but risks remain if systems are not designed inclusively. Engagement reinforced the need for approved tools, accessibility considerations, and safeguards when using AI.
Race	Research on AI bias; engagement with legal advisors and Data Protection Officer	Evidence shows potential for AI to reflect or amplify bias affecting minority ethnic groups. Engagement emphasised the importance of compliance with equality and data protection legislation, and the need for governance, fairness testing and oversight.
Sex	General equality evidence on bias in systems; engagement with legal advisors and Policy Group	Evidence indicates potential for bias where AI reflects historical inequalities in datasets. Engagement highlighted the need for safeguards, human oversight and review of outputs where AI is used.
Gender Reassignment	Limited specific evidence; general equality research; engagement with legal advisors	Limited direct evidence of specific impact. Engagement confirmed that risks of bias or inappropriate outputs exist and should be mitigated through policy controls, acceptable use restrictions, and reporting mechanisms.
Sexual orientation	Limited specific evidence; general equality research; engagement with legal advisors	Limited direct evidence, but risk of bias or inappropriate outputs from AI systems. Engagement highlighted the importance of

Equality Group	Evidence source (e.g. online resources, report, survey, consultation exercise already carried out)	What does the evidence tell you about the experiences of this group in relation to the proposal? NB Lack of evidence may suggest a gap in knowledge/ need for consultation (Step C).
		safeguards, training, and escalation routes for inappropriate outputs.
Religion or Belief	Limited direct evidence; general research on AI-generated content risks	Evidence suggests potential for AI-generated content to be insensitive or inappropriate. Engagement confirmed the need for human oversight and clear acceptable use guidance.
Pregnancy or maternity	Limited direct evidence; general equality evidence on bias in systems	Limited direct evidence of impact identified. Engagement confirms general need for safeguards against bias and adherence to equality legislation. Gap in evidence remains.
Marriage or civil partnership (only the first aim of the Duty is relevant to this protected characteristic and only in relation to work matters)	No specific evidence identified	No direct impact identified at policy level. This characteristic is primarily relevant in employment contexts and no specific issues were raised through engagement.
Socio economic disadvantage (if required)	National evidence on digital exclusion; Fairer Scotland Duty guidance; engagement with IT, Digital Champions and senior management	Evidence shows people experiencing socio-economic disadvantage are more likely to face digital exclusion. Engagement highlighted risks of unequal access to AI-enabled services and the importance of digital inclusion, training, and equitable access. There is also potential for AI to improve access to services if implemented appropriately.

7. Based on the evidence above, is there relevance to some or all of the equality groups? Y

If yes or unclear, proceed to further steps and complete full EFSIA

Further evidence gaps have been identified in relation to gender reassignment, sexual orientation, pregnancy or maternity, marriage or civil partnership, and religion or belief. These gaps do not prevent completion of this policy-level assessment, but they should be reviewed through service-level EFSIAs and DPIAs where AI is deployed in contexts that may affect individuals or groups with these characteristics.

If no, explain why below and then proceed to Step E:

Step C – Stakeholder engagement

This step will help you to address any gaps in evidence identified in Step B. Engagement with people who may be affected by a proposal can help clarify the impact it will have on different equality groups. Sufficient evidence is required for you to show 'due regard' to the likely or actual impact of your proposal on equality groups.

8. Based on the outcome of your assessment of the evidence under Step B, please detail the groups you intend to engage with or any further research that is required in order to allow you to fully assess the impact of the proposal on these groups. If you decide not to engage with stakeholders, please state why not:

Engagement has been undertaken with a range of internal stakeholders to inform the development of the policy and this assessment. This includes:

- Data Protection Officer
- IT Department
- Legal advisors (internal legal team and external consultancy support)
- Trade Union representatives through the Council's Policy Group
- Digital Champions network
- Senior Management Team

This engagement has focused on identifying potential risks, governance requirements, and practical considerations associated with the use of AI across Council services. The level of engagement reflects the policy-level nature of the proposal, with detailed impacts to be assessed at service or system level where AI is deployed.

9. Please detail the outcome of any further engagement, consultation and/or research carried out:

Engagement identified the following key themes:

- Governance and accountability
 - Strong support for clear governance arrangements, including oversight by the Data and AI Advisory Group
 - Agreement on the need for defined roles, responsibilities, and escalation routes
- Legal and compliance considerations
 - Reinforced the requirement to comply with UK GDPR, data protection, and equality legislation
 - Highlighted the importance of Data Protection Impact Assessments (DPIAs) and Equality and Fairer Scotland Impact Assessments (EFSIAs) for high-impact AI use
- Risk of bias and discrimination
 - Recognition of the potential for AI systems to introduce or reinforce bias
 - Support for requirements for bias testing, monitoring, and human oversight
- Acceptable use and safeguards
 - Agreement on restricting AI use to approved tools and platforms
 - Support for clear guidance on acceptable and unacceptable use, particularly in high-risk scenarios
- Training and workforce readiness
 - Identification of varying levels of digital confidence among staff
 - Strong support for mandatory training and ongoing support to ensure safe and effective use of AI tools
- Digital inclusion and accessibility
 - Recognition of risks of digital exclusion for both staff and service users
 - Support for promoting accessible and inclusive use of AI technologies
- Workforce considerations
 - Trade union engagement emphasised the importance of transparency, appropriate safeguards, and ensuring AI supports rather than replaces professional judgement

Further engagement may be required where AI is introduced in specific services, particularly where it:

- Supports decision-making affecting individuals
- Impacts access to services
- Affects groups experiencing inequality or socio-economic disadvantage

This will be considered on a case-by-case basis as part of service-level EFSIA and DPIA processes.

Step D - Impact on equality groups and steps to address this

10. Consider the impact of the proposal in relation to each protected characteristic under each aim of the general duty:

- Is there potential for discrimination, victimisation, harassment or other unlawful conduct that is prohibited under the Equality Act 2010? How will this be mitigated?
- Is there potential to advance equality of opportunity between people who share a characteristic and those who do not? How can this be achieved?
- Is there potential for developing good relations between people who share a relevant protected characteristic and those who do not? How can this be achieved?

If relevant, consider socio-economic impact.

Age	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination		x		There is a risk of digital exclusion, particularly for older people with lower digital confidence. This will be mitigated through mandatory staff training, guidance on appropriate use, and ensuring AI outputs are always reviewed by staff rather than relied on independently.
potential for developing good relations	x			Consistent and transparent use of AI across services can improve trust. A central prompt library and guidance will support consistent, appropriate, and respectful outputs.
potential to advance equality of opportunity	x			AI tools (e.g. summarisation and simplification) can improve accessibility of information. This will be supported through staff training and oversight to ensure outputs are usable and inclusive.

Disability	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination		X		There is a risk that AI outputs or tools may not be fully accessible. This will be mitigated through use of approved platforms, application of the Council's bias testing framework, and human review of outputs.
potential for developing good relations	X			Improved accessibility of content may support greater inclusion and engagement. Guidance and a central prompt library will promote appropriate and accessible use of AI.
potential to advance equality of opportunity	x			AI presents strong opportunities to support accessibility (e.g. summarisation, communication support). Staff training and guidance will ensure this is applied effectively and appropriately.

	Place 'X' in the relevant box(es)	
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Race	Positive impacts	Negative impacts	No impact	Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
risk of discrimination		X		AI systems may introduce or reinforce bias affecting minority ethnic groups. This will be mitigated through the Council's formal bias testing framework, monitoring of outputs, and governance via the Data Advisory and AI Oversight Group.
potential for developing good relations	X			Transparent and fair use of AI can build trust across communities. Staff training and guidance will support appropriate use and awareness of risks.
potential to advance equality of opportunity	x			AI tools can improve access to information (e.g. clearer or simplified content). This will be supported through a central prompt library and staff training to ensure outputs are inclusive.

Sex	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination		X		There is a risk that AI outputs may reflect historical inequalities within datasets. This will be mitigated through the Council's bias testing framework, human oversight of outputs, and governance through the Data Advisory and AI Oversight Group.
potential for developing good relations	X			Consistent and transparent use of AI can promote fairness. Staff training and guidance will support appropriate and equitable use of AI tools.
potential to advance equality of opportunity	x			AI may support more consistent outputs and reduce variability in decision-making. This will be strengthened through staff training and use of the central prompt library.

Gender Reassignment	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination		X		There is a potential risk of biased or inappropriate outputs due to limited data or understanding within AI models. This will be mitigated through acceptable use policies, staff training, and human oversight.
potential for developing good relations	X			Appropriate and respectful use of AI can support inclusive communication. Guidance and the central prompt library will promote safe and respectful outputs.

potential to advance equality of opportunity	x			No direct impact identified at policy level. Impacts will be considered at service level where AI is applied. General safeguards will still apply.
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Sexual Orientation	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination		X		There is a risk of biased or inappropriate outputs from AI systems. This will be mitigated through acceptable use controls, staff awareness, and escalation/reporting routes for inappropriate outputs.
potential for developing good relations	X			Responsible use of AI can support inclusive and respectful communication. Guidance and training will support this.
potential to advance equality of opportunity	x			No direct impacts identified at policy level, but safeguards will ensure equality is maintained in use.

Religion or Belief	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination		X		There is a risk that AI-generated content may be insensitive or inappropriate. This will be mitigated through human oversight, staff training, and acceptable use guidance.
potential for developing good relations	X			Ensuring respectful and appropriate AI outputs can support trust and inclusion. Prompt guidance and review processes will reinforce this.
potential to advance equality of opportunity	X			No direct impact at policy level, but general safeguards ensure equality is maintained.

Pregnancy/maternity	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			X	No risks identified. This characteristic is primarily relevant in employment contexts and not impacted by this policy at this level.
potential for developing good relations			X	No direct impact identified.
potential to advance equality of opportunity			X	No direct impact identified.

	Place 'X' in the relevant box(es)	
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Marriage/civil partnership	Positive impacts	Negative impacts	No impact	Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
risk of discrimination (only the first aim of the Duty is relevant to this protected characteristic and only in relation to work matters)			x	No risks identified. This characteristic is primarily relevant in employment contexts and not impacted by this policy at this level.

Socio-economic disadvantage	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Yes	No	No impact	
(If required) Will the proposal reduce inequalities of outcome caused by socio-economic disadvantage?	x			There is a risk of digital exclusion for individuals with limited access to digital tools or skills. This will be mitigated through staff training, digital inclusion approaches, and ensuring AI is not used as the sole route to service delivery. Transparent and inclusive use of AI can increase trust in services. Governance and oversight will support consistent and fair use. AI may improve access to services and information. This will be supported through inclusive design, central prompt guidance, and requirement for service-level EFSIA/DPIA before deployment.

11. Describe how the assessment might affect the proposal or project timeline?

Examples of the items you should consider here include, but are not limited to:

- **Communication plan:** do you need to communicate with people affected by proposal in a specific format (e.g. audio, subtitled video, different languages) or do you need help from other organisations to reach certain groups?
- **Cost:** do you propose any actions because of this assessment which will incur additional cost?
- **Resources:** do the actions you propose require additional or specialist resource to deliver them?
- **Timing:** will you need to build more time into the project plan to undertake research, consult or to complete any actions identified in this assessment?

The Equality and Fairer Scotland Impact Assessment has identified a number of actions that influence the delivery and implementation of the AI policy. These impacts are proportionate to the corporate framework nature of the proposal, rather than requiring significant redesign of the policy itself.

Communication

The policy will require clear and accessible communication to all staff to ensure understanding of:

- appropriate and safe use of AI tools
- acceptable and unacceptable uses
- risks relating to bias, discrimination and data protection

This will include:

- use of plain English guidance and training materials
- provision of examples and guidance through a central prompt library
- use of internal communication channels (e.g. intranet, training sessions)
- No specialist external communication formats are required at this stage, although accessibility considerations will be applied to all materials.

Cost

The assessment does not identify significant additional costs beyond those already planned for policy implementation.

Existing and planned activities include:

- delivery of staff training
- ongoing development and maintenance of a central prompt library
- operation of governance arrangements through the Data Advisory and AI Oversight Group

These costs are expected to be absorbed within existing Digital Transformation and ICT resources.

Resources

The implementation of the policy requires the continued use of existing resources, including:

- Digital Transformation team to support implementation, training, and governance
- Data Protection Officer and legal support for compliance and oversight
- Data Advisory and AI Oversight Group for governance and monitoring

No significant additional resource requirements have been identified; however, ongoing capacity will be required to:

- maintain training provision
- update guidance and prompt libraries
- monitor emerging risks and issues

Timing

The EFSIA does not require a delay to the implementation of the policy. However, it identifies the need to ensure that key mitigating actions are in place as part of rollout, including:

- delivery of mandatory staff training prior to or alongside access to AI tools
- availability of guidance and prompt libraries to support safe use
- establishment of governance and monitoring arrangements

Some activities (such as training rollout and development of guidance materials) will continue after policy approval as part of ongoing implementation.

12. **Having considered the potential or actual impacts of your proposal, you should now record the outcome of this assessment.** Choose from one of the following:

Please select (X)	Implications for the proposal
	No major change Your assessment demonstrates that the proposal shows no risk of unlawful discrimination and that you have taken all opportunities to advance equality of opportunity and foster good relations, subject to continuing monitoring and review.
x	Adjust the proposal and/or implement mitigations You have identified ways of modifying the proposal to avoid discrimination or to better advance equality of opportunity or foster good relations. In addition, or alternatively, you will introduce measures to mitigate any negative impacts. Adjustments and mitigations should be recorded in the tables under Step D above and summarised in the summary sheet at the front of the document.
	Continue the proposal with adverse impact The proposal will continue despite the potential for adverse impact. Any proposal which results in direct discrimination is likely to be unlawful and should be stopped and advice taken. Any proposal which results in indirect discrimination should be objectively justified and the basis for this set out in the tables under Step D above and summarised in the summary sheet at the front of the document. If objective justification is not possible, the proposal should be stopped whilst advice is taken.
	Stop the proposal The proposal will not be implemented due to adverse effects that are not justified and cannot be mitigated.

Step E - Discuss and review the assessment with decision-makers

13. **You must discuss the findings of this assessment at each stage with senior decision makers during the lifetime of the proposal and before you finalise the assessment. Record details of these discussions and decisions taken below:**

Details of individual feedback on the policy are contained within the policy audit history. The findings of this EFSIA, including identified risks, mitigations and post-implementation monitoring actions, will be shared with senior decision-makers before final approval and retained as part of the approval record.

Step F – Post-implementation actions and monitoring impact

It is important to continue to monitor the impact of your proposal on equality groups to ensure that your actual or likely impacts are those you recorded. This will also highlight any unforeseen impacts.

14. Record any post-implementation actions required.

The following post-implementation actions will be undertaken to ensure that the policy continues to mitigate risks and deliver positive outcomes for equality groups:

- Continued development and maintenance of the central prompt library to support safe, consistent and inclusive use of AI tools
- Ongoing delivery and refinement of mandatory staff training, including refresher training and updates as tools and risks evolve
- Application and refinement of the Council's bias testing framework, including review of outputs from AI tools used in practice
- Supporting services to undertake Equality and Fairer Scotland Impact Assessments (EFSIA) and Data Protection Impact Assessments (DPIA) for specific AI use cases
- Ensuring that all AI use is recorded and maintained within the Council's AI Register (where applicable)

15. Note here how you intend to monitor the impact of this proposal on equality groups.

The impact of the policy will be monitored through a combination of governance, assurance, and feedback mechanisms:

- Governance oversight: The Data and AI Advisory Group will monitor AI usage across the Council, including reviewing risks, incidents, and compliance with the policy.
- Bias testing and assurance: The Council's bias testing framework will be used to assess AI outputs and identify any patterns of bias or unequal outcomes affecting protected groups
- Monitoring of issues and incidents: Any reported issues relating to bias, discrimination, inappropriate outputs, or misuse of AI tools will be logged, reviewed, and escalated where necessary
- Training compliance monitoring: Completion of mandatory AI training will be monitored to ensure staff are appropriately equipped to use AI tools safely and inclusively
- Service-level assessments: Where AI is deployed in specific services, monitoring will be undertaken through service-level EFSIAs and DPIAs to assess actual impacts on users
- Feedback mechanisms: Feedback from staff, trade unions, and service areas will be used to identify emerging risks, unintended impacts, and opportunities for improvement

16. Note here when the EFSIA will be reviewed as part of the post-implementation review of the proposal:

This EFSIA will be reviewed:

As part of the annual review of the AI policy

- If there are significant changes to:
- the scope or use of AI within the Council
- relevant legislation or national guidance
- identified risks, incidents, or equality impacts
- Following the introduction of high-impact AI use cases, where additional or updated assessment may be required

The assessment may also be updated on an ad hoc basis if monitoring identifies new or unforeseen impacts on equality groups, in line with Council guidance.

Step G – Assessment sign off and approval

Lead person(s) for this assessment: Luke Pritchard-Woollett

Signed: *Luke Woollett*

Date: 10/07/2026

Senior officer approval of assessment:

Signed:

Date:

All full EFSIAs must be published on the Council's website as soon as possible after the decision is made to implement the proposal.



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DATA PROTECTION POLICY

Version:	2
Author/Service:	Legal & Governance Service
Authorised by:	Head of Partnership & Performance
Release Date:	Approved by Partnership & Performance Committee 13/1/22 and ratified by a Meeting of Clackmannanshire Council on 10/2/22.
Policy Review Date:	1 April 2028

Revision History:

Revision Date	Revised by	Previous Version	Description of Revision
30 Nov 2021	Heather Buchanan	1	Policy revised to ensure compliance with the UK GDPR
Mar 2025	Evelyn Paterson	2	Change review date to every 3 years Update DPO situation Confirm and update all policies / guidance etc related to this policy Update some grammar / layout

Introduction

Clackmannanshire Council needs to collect, store, process and when required share information or data about people with whom it has contact to carry out its functions as a Local Authority and/or meet its statutory obligations.

The Council may need to hold personal data on a wide variety of individuals such as members of the public, customers and clients, elected members, past, present and prospective staff as well as suppliers of goods and services to fulfil its commitments.

This Policy applies to our processing of personal data of data subjects and sets out how the Council will protect the rights of individuals and comply with the data protection legislation.

The Council recognises that it is essential to deal both legally and competently with personal data while conducting its day-to-day business. This creates a level of confidence between the Council and the people whose information it holds and demonstrates that the Council respects the privacy of those people. Clackmannanshire Council is exposed to potential fines for failure to comply with the provisions of data protection legislation.

This policy is not a stand-alone document and should be read in conjunction with other related policies, procedures and guidance.

To comply with data protection legislation all employees, elected members, consultants, volunteers, contractors and other agents of the Council who use its computer facilities or paper files to hold and process personal information must comply with the Data Protection Policy.

Definitions

‘Personal Data’ means information relating to a living individual (the data subject) who can be identified from the data or from the data and other information which is in the possession of (or is likely to come into the possession of) the data controller.

‘Special Category Data’ means personal data about an individual’s race, ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, genetics, biometric information (where used for ID purposes), and information relating to an individual’s health, sex life or sexual orientation.

‘Data Controller’ is a person or organisation who decides how any personal information can be held and processed, and for what purposes. Clackmannanshire Council is a Data Controller.

‘Data Processor’ – this role is carried out by a person other than a Council employee (for example a Contractor) who process personal information on behalf of the Council.

Purpose

The purpose of this policy is to ensure that the Council fully adheres with its legal obligations as set out in the UK General Data Protection Regulation (UK GDPR) and other data protection legislation in relation to the protection of personal data that it holds about any individual.

In complying with the Principles of Data Protection as laid down by UK GDPR the Council not only protects itself but also staff, customers and others who have contact with the Council. However, both the Council and individuals may be held accountable by the [Information Commissioner's Office](#) (ICO), the body which oversees the data protection laws.

Data Protection Principles

We will comply with the following six principles when processing personal data in carrying out our activities and functions as a Council. The personal data must be:

1. Processed lawfully, fairly and in a transparent manner in relation to the data subject.
2. Collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes.
3. Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed.
4. Accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay.
5. Kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed.
6. Processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

Data Protection Officer

The Council is required to have a named individual as the person with the overarching responsibility for ensuring compliance with the data protection legislation and promotion of good practice throughout the organisation.

The role of the Data Protection Officer (DPO) is to:

- Inform and advise the Council and its employees about their obligations to comply with the UK GDPR and other data protection laws.
- Monitor compliance with the UK GDPR and other data protection laws, including the assignment of responsibilities, managing and responding to data breaches, awareness raising and training of staff involved in the processing operations and related audits.
- Provide advice about data protection impact assessments and monitor their performance.
- Liaise and cooperate with the Information Commissioner's Office on issues related to the processing of personal data.

In addition to the above the DPO will also assist in determining the lawful basis for processing personal data and handling data complaints from data subjects. They are supported by the DPO solicitor who will prepare appropriate contracts in terms of data sharing/processing agreements.

Employee Responsibility

Each member of staff who deals with personal data has a responsibility to follow the procedures and guidelines set down by the Council in relation to data protection in order to ensure that data is held securely; not disclosed to any unauthorised parties and that it is disposed of securely once it is no longer required to be kept.

All staff will undertake data protection training as part of their induction and will be required to do refresher training at least every three years.

Data Security

The need to ensure that data is kept securely means that precautions must be taken against physical loss or damage, and that both access and disclosure must be restricted. All staff are responsible for ensuring that:

- Any personal data which they hold is kept securely.
- Personal information is not disclosed either orally or in writing or otherwise to any unauthorised third party.

Failure to comply with the Data Protection Policy can put at risk the data subjects whose personal data is being processed, and carries the risk of civil and criminal sanctions for the Council

Personal Data Breaches

A data breach may take many different forms, for example:

- Loss or theft of information or equipment on which personal data is stored.

- Unauthorised access to or use of personal data either by a member of staff or a third party.
- Conversations containing personal data being held outwith official work premises where members of the public could overhear the conversation.
- Loss of personal data resulting from an equipment or systems failure.
- Human error such as accidental deletion or alteration of personal data.
- Unforeseen circumstances such as a fire or flood.
- Deliberate attacks on our IT systems, such as hacking, viruses or phishing scams.

UK GDPR introduces a duty on all organisations to report certain types of personal data breach to the Information Commissioner's Office without undue delay and, where possible, within 72 hours of becoming aware of the breach, if it is likely to result in a risk to the rights and freedoms of data subjects. A data subject must be notified if a data breach is likely to result in a high risk to their rights and freedoms.

Staff are required to contact the Data Protection Officer and their line manager immediately on the discovery of a potential data breach.

Retention of data

Personal data will be kept securely and should not be retained for longer than is necessary.

In order to comply with various legal requirements, Clackmannanshire Council is required to retain data it holds for differing lengths of time. Once the data is no longer required to be held it must be securely destroyed.

Information on the retention periods can be found in the Council's retention policy.

The rights of individuals

The UK GDPR provides individuals with the following rights regarding how we process their personal information:

- The right to be informed about how their information will be used.
- The right of access to their personal information known as a subject access request.
- The right to rectification, which is the right to require the Council to correct any inaccuracies.
- The right to request the erasure of any personal information held by the Council where the Council no longer has a basis to hold the information.
- The right to request that the processing of their information is restricted.
- The right to data portability.
- The right to object to the Council processing their personal information.
- Rights in relation to automated decision making and profiling.

Lawful Processing

The Council must have a valid lawful basis in order to process personal data.

There are six available lawful bases for processing. No single basis is 'better' or more important than the others – which basis is most appropriate to use will depend on the purpose and relationship with the individual. These are:

- **Consent:** the individual has given clear consent for the Council to process his/her personal data for a specific purpose.
- **Contract:** the processing is necessary for a contract that the Council has with the individual, or because the individual has asked the Council to take specific steps before entering into a contract.
- **Legal obligation:** the processing is necessary for the Council to comply with the law (not including contractual obligations).
- **Vital interests:** the processing is necessary to protect someone's life or for the protection of the vital interests of the data subject or another person.
- **Public interest:** the processing is necessary for the Council to perform a task in the public interest or in the exercise of official authority vested in the Council.
- **Legitimate interests:** the processing is necessary for the purposes of legitimate interests pursued by the Council or a third party unless there is a good reason to protect the individual's personal data which overrides those legitimate interests. However, this basis is not available to processing carried out by the Council in the performance of its official tasks: it can only apply to the Council when it is fulfilling a different role

Where special category data and/or criminal offence data is processed the Council also need to identify a lawful condition for processing that information and document it.

The Council must include information about both the purposes of the processing and the lawful basis for it in our relevant privacy notices.

Privacy by Design

Data protection impact assessments (DPIAs) help the council to identify the most effective way to comply with their data protection obligations and meet individuals' expectations of privacy. These should be carried out whenever a service introduces a new system or where processing of personal data is likely to result in a high risk to the rights and freedoms of individuals.

Privacy Notices

We will issue Privacy Notices from time to time informing data subjects about the personal data that we process about them, how they can expect their personal data to be used and for what purposes. We will take appropriate measures to provide

information in privacy notices in a concise, transparent, intelligible and easily accessible form, using clear and plain language.

Transfers of personal data outside the UK

We may only transfer personal data outside the UK on the basis that the recipient country, territory or organisation is designated as having an adequate level of protection or that the organisation receiving the information has adequate safeguards in place so far as data protection is concerned. Further advice can be obtained from the Data Protection Officer.

Other Policies, Procedures and Guidance

Data Protection Staff Guide [Connect](#)

Dealing with a Data Security Breach [Connect](#) Subject Access Requests via Data Protection guidance [Connect](#)

Data Security Policy - currently under review by IT

Data Protection Impact Assessments [Connect](#)

Data Sharing [Connect](#)

Clacks Academy - Online training available

1. An introduction to GPDR
2. Dealing with Data Breaches
3. Introduction to Information Security
4. Subject Access Requests

Further information and guidance

Any questions or concerns about this Policy should be directed to the Data Protection Officer,

Data Protection Officer
Clackmannanshire Council
Kilncraigs
Alloa
FK10 1EB

Email: dpo@clacks.gov.uk

Further information is also available from the Information Commissioner's website: www.ico.org.uk [Information Commissioner's Office](#)



Equality and Fairer Scotland Impact Assessment (EFSIA) Summary of Assessment

Title: Data Protection Policy

Key findings from this assessment (or reason why an EFSIA is not required):

The findings of this assessment are that the Data Protection Policy has a limited impact on protected characteristics and looks to impose a policy that aims to promote the protection of all data subjects and data processed by the Council

Summary of actions taken because of this assessment:

None

Ongoing actions beyond implementation of the proposal include:

None

Lead person(s) for this assessment:

Evelyn Paterson, Data Protection Officer

Senior officer approval of assessment:

Chris Allison, Head of Corporate Services

DATE: 23/09/26

Equality and Fairer Scotland Impact Assessment (EFSIA)

An Equality and Fairer Scotland Impact Assessment (EFSIA) must be completed in relation to any decisions, activities, policies, strategies or proposals of the Council (referred to as 'proposal' in this document). The first stage of the assessment process will determine the level of impact assessment required.

This form should be completed using the guidance contained in the document: ['NAME']. Please read the guidance before completing this form.

The aim of this assessment is to allow you to critically assess:

- the impact of the proposal on those with protected characteristics and, where relevant, affected by socio-economic disadvantage (referred to as 'equality groups' in this document);
- whether the Council is meeting its legal requirements in terms of Public Sector Equality Duty and the Fairer Scotland Duty;
- whether any measures need to be put in place to ensure any negative impacts are eliminated or minimised.

The Fairer Scotland Duty requires public authorities to pay 'due regard' to how they can reduce inequalities of outcome caused by socio-economic disadvantage, when making **strategic decisions**. Strategic decisions are key, high-level decisions such as decisions about setting priorities, allocating resources, delivery or implementation and commissioning services and all decisions that go to Council or committee for approval.

Step A – Confirm the details of your proposal

1. Describe the aims, objectives and purpose of the proposal.

The purpose of the policy is to set out the arrangements for collecting, storing and processing personal data whilst carrying out the functions of a local authority and/or meeting our statutory obligations. These arrangements apply to staff, elected members, contractors, consultants, volunteers and other agents of the Council who use its computer facilities or paper files to hold and process personal information. It aims to inform all impacted parties of these measures, roles and responsibilities to enable them to comply.

2. Why is the proposal required?

The proposal is required to ensure appropriate data protection arrangements are in place across the council estate and to build a robust and accountable culture within the council.

3. Who is affected by the proposal?

All staff, elected members, visitors, contractors, consultant, volunteers and other third parties processing personal data.

4. What other Council policies or activities may be related to this proposal? The EFSIAs for related policies might help you understand potential impacts.

Data Security Policy (IT), guidance documents relating to data protection, data protection impact assessments and data sharing all on CONNECT.

5. Is the proposal a strategic decision? If so, please complete the steps below in relation to socio-economic disadvantage. If not, please state why it is not a strategic decision:

Yes it is a strategic decision.

Step B – Consider the level of EFSIA required

You should consider the available evidence and data relevant to your proposal. You should gather information in order to:

- *help you to understand the importance of your proposal for those from equality groups,*
- *inform the depth of EFSIA you need to do (this should be proportionate to the potential impact), and*
- *provide justification for the outcome, including where it is agreed an EFSIA is not required.*

6. What information is available about the experience of those with protected characteristics in relation to this proposal? Does the proposal relate to an area where there are already known inequalities? Refer to the guidance for sources of evidence and complete the table below.

Equality Group	Evidence source (e.g. online resources, report, survey, consultation exercise already carried out)	What does the evidence tell you about the experiences of this group in relation to the proposal? NB Lack of evidence may suggest a gap in knowledge/ need for consultation (Step C).
Age		The policy applies equally across all ages. Ensuring the policy is implemented is more likely to protect data for all age groups.
Disability		The policy applies equally across disabled and non-disabled people
Race		The policy applies across all races within the council
Sex		The policy applies equally across all staff
Gender Reassignment		The policy applies equally across staff and there is no evidence that it would negatively impact those undergoing or having undergone gender reassignment.
Sexual orientation		The policy applies equally across all staff regardless of sexual orientation.
Religion or Belief		The policy applies equally across all staff regardless of religion or belief.
Pregnancy or maternity		The policy applies equally across all staff regardless of pregnancy or maternity.
Marriage or civil partnership (only the first aim of the Duty is relevant to this protected characteristic and only in relation to work matters)		The policy applies equally to staff. There is again no data to indicate that it negatively impacts any-one with this protected characteristic.
Socio economic disadvantage (if required)		The policy applies across all staff regardless of social economic standing.

7. **Based on the evidence above, is there relevance to some or all of the equality groups? Y/ N/ unclear**
- No

This step will help you to address any gaps in evidence identified in Step B. Engagement with people who may be affected by a proposal can help clarify the impact it will have on different equality groups. Sufficient evidence is required for you to show 'due regard' to the likely or actual impact of your proposal on equality groups.

8. Based on the outcome of your assessment of the evidence under Step B, please detail the groups you intend to engage with or any further research that is required in order to allow you to fully assess the impact of the proposal on these groups. If you decide not to engage with stakeholders, please state why not:
9. Please detail the outcome of any further engagement, consultation and/or research carried out:

Step D - Impact on equality groups and steps to address this

10. Consider the impact of the proposal in relation to each protected characteristic under each aim of the general duty:

- Is there potential for discrimination, victimisation, harassment or other unlawful conduct that is prohibited under the Equality Act 2010? How will this be mitigated?
- Is there potential to advance equality of opportunity between people who share a characteristic and those who do not? How can this be achieved?
- Is there potential for developing good relations between people who share a relevant protected characteristic and those who do not? How can this be achieved?

If relevant, consider socio-economic impact.

Age	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination				
potential for developing good relations				
potential to advance equality of opportunity				

Disability	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination				
potential for developing good relations				
potential to advance equality of opportunity				

Race	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination				
potential for developing good relations				
potential to advance equality of opportunity				

Sex	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination				
potential for developing good relations				
potential to advance equality of opportunity				

Gender Reassignment	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination				
potential for developing good relations				
potential to advance equality of opportunity				

Sexual Orientation	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination				
potential for developing good relations				
potential to advance equality of opportunity				

Religion or Belief	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination				
potential for developing good relations				
potential to advance equality of opportunity				

Pregnancy/maternity	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination				
potential for developing good relations				
potential to advance equality of opportunity				

Marriage/civil partnership	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination (only the first aim of the Duty is relevant to this protected characteristic and only in relation to work matters)				

Socio-economic disadvantage	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Yes	No	No impact	
(If required) Will the proposal reduce inequalities of outcome caused by socio-economic disadvantage?				

11. Describe how the assessment might affect the proposal or project timeline?

Examples of the items you should consider here include, but are not limited to:

- **Communication plan:** do you need to communicate with people affected by proposal in a specific format (e.g. audio, subtitled video, different languages) or do you need help from other organisations to reach certain groups?
- **Cost:** do you propose any actions because of this assessment which will incur additional cost?
- **Resources:** do the actions you propose require additional or specialist resource to deliver them?
- **Timing:** will you need to build more time into the project plan to undertake research, consult or to complete any actions identified in this assessment?

12. **Having considered the potential or actual impacts of your proposal, you should now record the outcome of this assessment.** Choose from one of the following:

Please select (X)	Implications for the proposal
X	No major change Your assessment demonstrates that the proposal shows no risk of unlawful discrimination and that you have taken all opportunities to advance equality of opportunity and foster good relations, subject to continuing monitoring and review.
	Adjust the proposal and/or implement mitigations You have identified ways of modifying the proposal to avoid discrimination or to better advance equality of opportunity or foster good relations. In addition, or alternatively, you will introduce measures to mitigate any negative impacts. Adjustments and mitigations should be recorded in the tables under Step D above and summarised in the summary sheet at the front of the document.
	Continue the proposal with adverse impact The proposal will continue despite the potential for adverse impact. Any proposal which results in direct discrimination is likely to be unlawful and should be stopped and advice taken. Any proposal which results in indirect discrimination should be objectively justified and the basis for this set out in the tables under Step D above and summarised in the summary sheet at the front of the document. If objective justification is not possible, the proposal should be stopped whilst advice is taken.
	Stop the proposal The proposal will not be implemented due to adverse effects that are not justified and cannot be mitigated.

Step E - Discuss and review the assessment with decision-makers

13. **You must discuss the findings of this assessment at each stage with senior decision makers during the lifetime of the proposal and before you finalise the assessment. Record details of these discussions and decisions taken below:**

Step F – Post-implementation actions and monitoring impact

It is important to continue to monitor the impact of your proposal on equality groups to ensure that your actual or likely impacts are those you recorded. This will also highlight any unforeseen impacts.

- 14. **Record any post-implementation actions required.**
- 15. **Note here how you intend to monitor the impact of this proposal on equality groups.**
- 16. **Note here when the EFSIA will be reviewed as part of the post-implementation review of the proposal:**

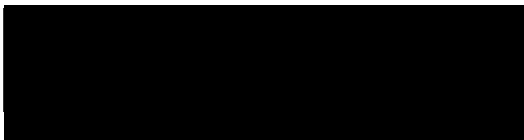
Step G – Assessment sign off and approval

Lead person(s) for this assessment:

Signed: 

Date: 23/09/26

Senior officer approval of assessment:

Signed: 

Date: 23/09/26

All full EFSIAs must be published on the Council's website as soon as possible after the decision is made to implement the proposal.



**Clackmannanshire
Council**

www.clacks.gov.uk

Comhairle Siorrachd
Chlach Mhanann

Gambling Awareness Policy

2026



DOCUMENT CONTROL SHEET:

Key Information:

Title:	Gambling Awareness Policy
Date Issued:	
Date Effective From:	
Version Number:	1.0
Document Type:	Policy
Document Status:	Draft
Author:	Cheryl Dennington
Owner:	Human Resources
Approver:	
Approved by and Date:	
Contact:	

Revision History:

Version:	Date:	Summary of Changes	Name:	Changes Marked:
<u>1.0</u>	<u>January 2026</u>	<u>Draft</u>	<u>CD</u>	<u>N/A</u>

1. POLICY STATEMENT

- 1.1 Clackmannanshire Council is committed to promoting the health, safety and wellbeing of its employees and to maintaining a working environment that is safe, productive and supportive. The Council recognises that gambling related harm can adversely affect individuals, their families, colleagues and the workplace, including through impacts on attendance, performance, conduct, financial wellbeing and mental health.

2. INTRODUCTION

- 2.1 Harmful gambling is a health and social concern for all, and as a Council we want to ensure awareness of this issue with a positive policy designed to encourage early identification of gambling concerns in the workplace, and by providing a constructive and preventive strategy to support employees with gambling concerns in our workforce.

3. DEFINITION

- 3.1 Harmful gambling refers to any pattern of gambling behaviour that has a negative impact on an individual's health, wellbeing, finances, relationships, work performance or ability to carry out day-to-day responsibilities. This may include difficulties in controlling time or money spent on gambling, gambling to cope with stress or emotional distress, or continuing to gamble despite experiencing adverse consequences.
- 3.2 It can also impact colleagues, families and the workplace through reduced concentration, attendance, financial pressures, safeguarding concerns or breaches of conduct.

4. PURPOSE

- 4.1 To raise awareness of gambling related harm, reduce stigma, and ensure that employees who may be affected by their own or another person's gambling are supported in a fair, sensitive and proportionate manner. The Council adopts a preventative and supportive approach, recognising gambling harm as a workplace wellbeing issue rather than solely a conduct matter.

5. SCOPE AND RESPONSIBILITY

- 5.1 This policy applies to all employees of Clackmannanshire Council, regardless of role. While the Council encourages employees to seek support at the earliest

opportunity, it also makes clear that where gambling related behaviour results in breaches of Council policies, poor performance, or risks to service delivery, safeguarding, or public trust, this may be managed under the appropriate Council procedures, including the capability or disciplinary processes.

5.2 Clackmannanshire Council will take reasonable steps to:

- Foster a workplace culture that encourages early disclosure and support;
- Provide clear information on available support and sources of help;
- Ensure that managers are equipped to respond appropriately to concerns;
- Balance employee wellbeing with the Council's duty to deliver services safely, lawfully and effectively.

6. PROCESSING OF PERSONAL DATA

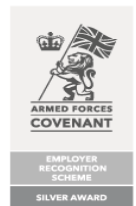
5.1.1 The Council processes personal data collected as part of this procedure in accordance with its data protection policy. In particular, data collected as part of this process is held securely and accessed by, and disclosed to, individuals only for the purposes necessary to action and manage this procedure.

7. MONITORING AND REVIEW

6.1 Both HR and Trade Union Representatives shall monitor the effectiveness of the procedure on an ongoing basis. Changes may result from employee, management and union feedback and/or from changes in employment legislation. Revisions and updates will be implemented by the Council following consultation with recognised Trade Unions.

8. EQUALITY IMPACT ASSESSMENT

Policy Name	Gambling Awareness
Department	HR&WFD
Policy Lead	HR*WFD
Equality Impact Assessment	
Full EQIA required	Yes ☒ No* ☐
* In no please provide rationale	
Date Full EQIA complete	
Date Approved	
Review Date	





**Clackmannanshire
Council**

www.clacks.gov.uk

Comhairle Siorrachd
Chlach Mhanann

Gambling Awareness Procedure

2026



DOCUMENT CONTROL SHEET:

Key Information:

Title:	Gambling Awareness Procedure
Date Issued:	
Date Effective From:	
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Document Type:	Procedure
Document Status:	Draft
Author:	Cheryl Dennington
Owner:	Human Resources
Approver:	
Approved by and Date:	
Contact:	

Revision History:

Version:	Date:	Summary of Changes	Name:	Changes Marked:
<u>1.0</u>	<u>January 2026</u>	<u>Draft</u>	<u>CD</u>	<u>N/A</u>

1. INTRODUCTION

- 1.1 This procedure sets out the practical steps to be followed where gambling related harm may be affecting an employee or the workplace. Its purpose is to provide managers with clear, consistent guidance on recognising potential indicators of gambling harm, responding to concerns sensitively and appropriately, and signposting employees to support at the earliest opportunity.
- 1.2 This should be read alongside the Council's Gambling Awareness Policy.

2. GENERAL PRINCIPLES

- 2.1 The Council will adopt a supportive, non-judgemental and preventative approach to gambling related harm, focusing on early identification, open conversations and timely access to support.
- 2.2 Gambling related harm is recognised as existing on a spectrum and may affect individuals in different ways. Support may be appropriate even where gambling is lawful, occasional, or not disclosed as a problem by the individual.
- 2.3 The Council is committed to reducing stigma associated with gambling harm and encouraging employees to seek help or raise concerns at the earliest opportunity, without fear of unfair treatment.
- 2.4 All matters relating to gambling related harm will be handled sensitively and in accordance with data protection requirements. Information will only be shared on a need-to-know basis.
- 2.5 Managers will respond to concerns in a fair, proportionate and consistent manner, taking account of individual circumstances while ensuring service delivery, safety and public trust are maintained.
- 2.6 Addressing gambling related harm is a shared responsibility between the Council, managers, employees, HR and trade union representatives, with each having a role in promoting wellbeing and providing appropriate support.
- 2.7 Where gambling related issues overlap with attendance, performance, capability, safeguarding or conduct, they will be managed alongside the relevant Council procedures, ensuring a balanced approach between support and organisational responsibilities.
- 2.8 This Procedure will be applied in a manner that is fair, inclusive and consistent with the Council's commitments to equality, dignity and respect at work, and its wider wellbeing framework.

3. INDICATORS OF GAMBLING RELATED HARM

- 3.1 Harmful gambling often contributes to other problems such as financial, health, drug or alcohol misuse, relationships, employment, homelessness or crime.
- 3.2 Indicators can include:
- Changes in attendance (frequent absence, lateness, short-notice leave)
 - Changes in work performance or concentration
 - Increased stress, anxiety, irritability or low mood
 - Financial concerns (requests for advances, overtime, money worries)
 - Behavioural changes or withdrawal from colleagues
 - Conduct, compliance or safeguarding concerns
 - Self-disclosure or concerns raised by others
- 3.3 The presence of one or more of the indicators listed above does not mean that an employee has a gambling problem, nor is it the role of managers to diagnose gambling related harm. These signs may relate to a wide range of health, wellbeing or personal circumstances. The purpose of spotting potential indicators is to help identify when a supportive conversation may be appropriate, to signpost employees to relevant support, and to seek advice from HR where concerns exist.
- 3.4 What support may look like:
- Wellbeing conversations
 - Temporary workload adjustments
 - Flexible working considerations (where possible)
 - Time off for support appointments
 - Occupational Health referral
 - Employee Assistance Programme (PAM Assist)
 - Signposting to external & third sector pathways

4. MANAGERS RESPONSIBILITIES

- 4.1 Managers have a key role in supporting employee wellbeing and in ensuring that gambling related harm is identified and addressed appropriately within the workplace. Managers should focus on observed workplace impacts, respond proportionately and sensitively, and take appropriate guidance to ensure matters are managed fairly, consistently and in line with Council procedures. In carrying out this role, managers are expected to:
- Foster an open and supportive working environment in which employees feel able to raise concerns about gambling related harm, either affecting themselves or others, without fear of judgement or unfair treatment.

- Remain attentive to changes in behaviour, performance, attendance or conduct that may indicate gambling related harm, while avoiding assumptions or diagnosis.
- Where concerns are identified or disclosed, respond in a timely, compassionate and non-judgemental manner, focusing on understanding the issue and offering appropriate support.
- Engage in sensitive, wellbeing focused conversations with employees where appropriate, signposting to available support and encouraging early access to help in line with the Bet You Can Help Now approach (Appendix XX).
- Ensure employees are aware of internal and external support options, including occupational health, employee support services and relevant third-sector organisations. Please see appendix XX.
- Handle all information sensitively and in accordance with data protection requirements, sharing information only on a need-to-know basis.
- Seek advice from HR at an early stage where gambling related harm is suspected or disclosed, particularly where there may be implications for attendance, performance, safeguarding, financial probity or conduct.
- Where gambling related issues are impacting on attendance, capability, safeguarding or conduct matters, manage these appropriately under the relevant Council policies, ensuring that responses are fair, proportionate and clearly separated from supportive wellbeing measures where possible.
- Keep appropriate, factual records of actions taken and regularly review agreed support measures to ensure they remain relevant and effective.

5. EMPLOYEES RESPONSIBILITIES

- 5.1 All employees have a role to play in promoting a safe, supportive and respectful working environment. In relation to gambling related harm, employees are expected to:
- Be mindful of the impact that gambling may have on their health, wellbeing, finances and work, and seek support where they feel gambling may be affecting them or others.
 - Where gambling related harm is experienced or suspected, access available support at the earliest opportunity, either through self-referral to support services or by speaking to a manager, HR, or a trade union representative.

- Where reasonable support measures are put in place, engage constructively with these and participate in agreed actions aimed at improving wellbeing and maintaining attendance, performance and conduct.
- Provide relevant and accurate information when discussing gambling-related concerns that may affect their work, recognising that openness supports appropriate and timely assistance.
- Ensure that gambling related behaviour does not adversely affect work performance, attendance, safety, conduct or compliance with Council policies and procedures.
- Treat colleagues with dignity and respect, maintaining confidentiality and avoiding stigma, speculation or inappropriate discussion of gambling-related issues.
- Employees should be aware that failure to meet required standards may be managed under the appropriate Council procedures.

6. EXTERNAL SUPPORT AND THIRD PARTY PATHWAYS

- 6.1 Where an employee discloses concerns or a manager identifies potential indicators of harmful gambling, the focus will be on early, supportive signposting to appropriate external support. In practice, this involves sensitively discussing available third-party support options, encouraging the employee to access help at their own pace, and, where appropriate, facilitating contact with relevant services. Managers are not expected to provide advice or act as intermediaries, but to support access, maintain confidentiality, and seek HR advice to ensure a coordinated approach alongside any internal workplace support measures.
- 6.2 External and third party partners and local resources are outlined in Appendix XX.

7. MONITORING AND REVIEW

- 7.1 Strategic Directors/Senior Managers are responsible for monitoring the progress of grievance cases within their service area, on an ongoing basis, to ensure that the timescales contained in this policy are adhered to.
- 7.2 Both HR and Trade Union Representatives shall monitor the effectiveness of the procedure on an ongoing basis. Changes may result from employee, management and union feedback and/or from changes in employment legislation. Revisions and updates will be implemented by the Council following consultation with recognised Trade Unions.

8. EQUALITY IMPACT ASSESSMENT

Policy Name	
Department	HR&WFD
Policy Lead	HR*WFD
Equality Impact Assessment	
Full EQIA required	Yes ☒ x No* ☐
* In no please provide rationale	
Date Full EQIA complete	
Date Approved	
Review Date	





Equality and Fairer Scotland Impact Assessment (EFSIA) Summary of Assessment

Title:

Gambling Awareness Procedure

Key findings from this assessment (or reason why an EFSIA is not required):

Assessment is required

Summary of actions taken because of this assessment:

Consultation with the Councils Policy Group

Ongoing actions beyond implementation of the proposal include:

Monitoring to ensure policy and procedure are applied consistently across the Council.
Ongoing review and consultation of the Policy and Procedure.

Lead person(s) for this assessment:

Ewa Kac – HR Business Partner

Senior officer approval of assessment:

Head of Corporate Services

DATE: August 2026

Equality and Fairer Scotland Impact Assessment (EFSIA)

An Equality and Fairer Scotland Impact Assessment (EFSIA) must be completed in relation to any decisions, activities, policies, strategies or proposals of the Council (referred to as 'proposal' in this document). The first stage of the assessment process will determine the level of impact assessment required.

This form should be completed using the guidance contained in the document: ['NAME']. Please read the guidance before completing this form.

The aim of this assessment is to allow you to critically assess:

- the impact of the proposal on those with protected characteristics and, where relevant, affected by socio-economic disadvantage (referred to as 'equality groups' in this document);
- whether the Council is meeting its legal requirements in terms of Public Sector Equality Duty and the Fairer Scotland Duty;
- whether any measures need to be put in place to ensure any negative impacts are eliminated or minimised.

The Fairer Scotland Duty requires public authorities to pay 'due regard' to how they can reduce inequalities of outcome caused by socio-economic disadvantage, when making **strategic decisions**. Strategic decisions are key, high-level decisions such as decisions about setting priorities, allocating resources, delivery or implementation and commissioning services and all decisions that go to Council or committee for approval.

Step A – Confirm the details of your proposal

1. Describe the aims, objectives and purpose of the proposal.

To raise awareness of gambling related harm, reduce stigma, and ensure that employees who may be affected by their own or another person's gambling are supported in a fair, sensitive and proportionate manner.

2. Why is the proposal required?

HR Policies and Procedure are reviewed on a regular basis, usually every 2-3 years to ensure they remain appropriate, up to date and in line with any legislative or other relevant changes. This policy and procedure is to ensure that the council have a supportive framework in place for our employees who have gambling problems at present or in the future.

3. Who is affected by the proposal?

The procedure is available to all employees within Clackmannanshire council; not all employees will be affected but if they are this policy and procedure has been created to best support them.

4. What other Council policies or activities may be related to this proposal? The EFSIAs for related policies might help you understand potential impacts.

Potentially flexible working, special leave, maximising attendance, employee wellbeing and mental health initiatives, equality diversity and inclusion strategy, capability policies.

5. Is the proposal a strategic decision? If so, please complete the steps below in relation to socio-economic disadvantage. If not, please state why it is not a strategic decision:

No, policy is an operational/employee support measure.

Step B – Consider the level of EFSIA required

You should consider the available evidence and data relevant to your proposal. You should gather information in order to:

- help you to understand the importance of your proposal for those from equality groups,
- inform the depth of EFSIA you need to do (this should be proportionate to the potential impact), and
- provide justification for the outcome, including where it is agreed an EFSIA is not required.

6. What information is available about the experience of those with protected characteristics in relation to this proposal? Does the proposal relate to an area where there are already known inequalities? Refer to the guidance for sources of evidence and complete the table below.

Equality Group	Evidence source (e.g. online resources, report, survey, consultation exercise already carried out)	What does the evidence tell you about the experiences of this group in relation to the proposal? NB Lack of evidence may suggest a gap in knowledge/ need for consultation (Step C).
Age	The Scottish Health Survey 2021 - volume 1: main report ScotPHO – Public Health Information for Scotland.	Yes – older workers (between 45-54) more likely to participate in gambling activities; however, the proportion of the young people in GB engaging in the gambling problem is increasing. Therefore, all ages can be affected.
Disability	Limited Data	No/lack of specific data available on gambling among disabled employees.
Race	Gambling Harm Inequalities: Risk Factors for Women & Minorities	Yes - People from ethnic minoritised communities tend to have lower rates of participation in gambling activities, however, those communities are also 3x more likely to gamble as a coping mechanism. Therefore, this proposal provides further support to those affected.
Sex	The Scottish Health Survey 2021 - volume 1: main report ScotPHO – Public Health Information for Scotland.	Yes – men are more likely to gamble than women, however women can go from low levels of harm to high levels of harm much quicker than men. Gambling Harm Inequalities: Risk Factors for Women & Minorities The policy is intended for all genders.
Gender Reassignment	Limited Data	No/lack of specific data available on gambling among trans employees.
Sexual orientation	Limited Data	No/lack of specific data available on gambling among trans employees.
Religion or Belief	Limited Data	No/lack of specific data available on gambling among trans employees.

Equality Group	Evidence source (e.g. online resources, report, survey, consultation exercise already carried out)	What does the evidence tell you about the experiences of this group in relation to the proposal? NB Lack of evidence may suggest a gap in knowledge/ need for consultation (Step C).
Pregnancy or maternity	Limited Data	No/lack of specific data available on gambling among trans employees. Although the reports indicate that gambling operators are targeting new mums. Gambling Harm Inequalities: Risk Factors for Women & Minorities
Marriage or civil partnership (only the first aim of the Duty is relevant to this protected characteristic and only in relation to work matters)	Limited Data	No/lack of specific data available on gambling among trans employees.
Socio economic disadvantage (if required)	Gambling Harm Treatment and Support in Scotland: Current provisions and future directions	Yes – Research shows that although the gambling participation remains widespread in Scotland, there is evidence of socioeconomic patterning with those living in the most deprived areas participating in gambling more than those living in the least deprived.

7. Based on the evidence above, is there relevance to some or all of the equality groups? Y/ N/ unclear

If yes or unclear, proceed to further steps and complete full EFSIA

If no, explain why below and then proceed to Step E:

Limited evidence under Disability, Gender Reassignment, Religion or Belief, Pregnancy or maternity, Marriage or civil partnership & Sexual orientation compared to the other equality groups.

Step C – Stakeholder engagement

This step will help you to address any gaps in evidence identified in Step B. Engagement with people who may be affected by a proposal can help clarify the impact it will have on different equality groups. Sufficient evidence is required for you to show 'due regard' to the likely or actual impact of your proposal on equality groups.

- 8. Based on the outcome of your assessment of the evidence under Step B, please detail the groups you intend to engage with or any further research that is required in order to allow you to fully assess the impact of the proposal on these groups. If you decide not to engage with stakeholders, please state why not:**

The procedure has been developed in consultation with recognised trade unions, along with elected manager representatives, all who will be involved in the review of the draft procedure at policy group. Discussion will take place at policy group on the content of the procedure and suggested amendments/additions will be agreed collectively. The Policy needs to be agreed at Council before it can be implemented.

- 9. Please detail the outcome of any further engagement, consultation and/or research carried out:**

Policy and Procedure went to Policy Group and there was no feedback in terms of the impact on each equality group. No additional information to be added from this.

Step D - Impact on equality groups and steps to address this

10. Consider the impact of the proposal in relation to each protected characteristic under each aim of the general duty:

- Is there potential for discrimination, victimisation, harassment or other unlawful conduct that is prohibited under the Equality Act 2010? How will this be mitigated?
- Is there potential to advance equality of opportunity between people who share a characteristic and those who do not? How can this be achieved?
- Is there potential for developing good relations between people who share a relevant protected characteristic and those who do not? How can this be achieved?

If relevant, consider socio-economic impact.

Age	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination	X			Low risk as p&p supports all age groups employed by Clackmannanshire Council.
potential for developing good relations	X			Promotes understanding/education across age groups and all ages can experience having gambling problem.
potential to advance equality of opportunity			X	

Disability	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination	X			Low risk of discrimination – the proposal applies equally regardless of a condition
potential for developing good relations	X			Supports equal and inclusive access by recognising gambling problems can impact all employees regardless of health condition.
potential to advance equality of opportunity	X			As above ensures all employees are supported regardless of their health condition – equal access to support when gambling problems arise

Race	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination	X			Low risk as p&p further supports all employees regardless of race or cultural background.
potential for developing good relations	X			Supports equal and inclusive access by recognising gambling problems can impact all employees regardless of race and culture backgrounds e.g. values, beliefs. This normalises gambling awareness, support, and reduces stigma.
potential to advance equality of opportunity	X			As above ensures all employees are supported regardless of race or cultural background – equal access to support when gambling problems arise.

Sex	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination	X			Low risk – as although men are statistically more likely to gamble, the policy/procedure is intended for all genders.
potential for developing good relations	X			Allowing employees of all genders to continue to work whilst dealing with the gambling problem, ensuring no member of staff is at a disadvantage, reinforcing equality in the workplace in pivotal.
potential to advance equality of opportunity	X			Further reinforces that gambling problem impact all genders, further supporting equality in the workplace.

Gender Reassignment	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			X	No impact identified
potential for developing good relations			X	“
potential to advance equality of opportunity			X	“

Sexual Orientation	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			X	No impact identified
potential for developing good relations			X	“
potential to advance equality of opportunity			X	“

Religion or Belief	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination			X	No impact identified
potential for developing good relations			X	
potential to advance equality of opportunity			X	

Pregnancy/maternity	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination	X			Low risk - employees may experience exposure to gambling during pregnancy, maternity, or return-to-work periods, therefore proposal provides further support to those in that category.
potential for developing good relations	X			Create and promotes an inclusive and supportive working culture for employees exposed to gambling activities.
potential to advance equality of opportunity	X			Supports retention and a positive return to work experience.

Marriage/civil partnership	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Positive impacts	Negative impacts	No impact	
risk of discrimination (only the first aim of the Duty is relevant to this protected characteristic and only in relation to work matters)				Low risk of discrimination – the proposal applies equally regardless of marriage/Civil partnership.

Socio-economic disadvantage	Place 'X' in the relevant box(es)			Describe any actions you plan to take, eg. to mitigate any impact, maximise positive impact, or record your justification to not make changes
	Yes	No	No impact	
(If required) Will the proposal reduce inequalities of outcome caused by socio-economic disadvantage?	X			Low risk - research shows gambling problems are more concentrated in deprived areas therefore proposal provides further support to those affected.

11. Describe how the assessment might affect the proposal or project timeline?

Examples of the items you should consider here include, but are not limited to:

- **Communication plan:** do you need to communicate with people affected by proposal in a specific format (e.g. audio, subtitled video, different languages) or do you need help from other organisations to reach certain groups?
- **Cost:** do you propose any actions because of this assessment which will incur additional cost?
- **Resources:** do the actions you propose require additional or specialist resource to deliver them?
- **Timing:** will you need to build more time into the project plan to undertake research, consult or to complete any actions identified in this assessment?

12. **Having considered the potential or actual impacts of your proposal, you should now record the outcome of this assessment.** Choose from one of the following:

Please select (X)	Implications for the proposal
X	No major change Your assessment demonstrates that the proposal shows no risk of unlawful discrimination and that you have taken all opportunities to advance equality of opportunity and foster good relations, subject to continuing monitoring and review.
	Adjust the proposal and/or implement mitigations You have identified ways of modifying the proposal to avoid discrimination or to better advance equality of opportunity or foster good relations. In addition, or alternatively, you will introduce measures to mitigate any negative impacts. Adjustments and mitigations should be recorded in the tables under Step D above and summarised in the summary sheet at the front of the document.
	Continue the proposal with adverse impact The proposal will continue despite the potential for adverse impact. Any proposal which results in direct discrimination is likely to be unlawful and should be stopped and advice taken. Any proposal which results in indirect discrimination should be objectively justified and the basis for this set out in the tables under Step D above and summarised in the summary sheet at the front of the document. If objective justification is not possible, the proposal should be stopped whilst advice is taken.
	Stop the proposal The proposal will not be implemented due to adverse effects that are not justified and cannot be mitigated.

Step E - Discuss and review the assessment with decision-makers

13. **You must discuss the findings of this assessment at each stage with senior decision makers during the lifetime of the proposal and before you finalise the assessment. Record details of these discussions and decisions taken below:**

To be confirmed.

Step F – Post-implementation actions and monitoring impact

It is important to continue to monitor the impact of your proposal on equality groups to ensure that your actual or likely impacts are those you recorded. This will also highlight any unforeseen impacts.

14. **Record any post-implementation actions required.**
15. **Note here how you intend to monitor the impact of this proposal on equality groups.**
- Review at next scheduled policy review cycle.
Feedback through employees
Feedback through trade unions
16. **Note here when the EFSIA will be reviewed as part of the post-implementation review of the proposal: 2-3 years**

Step G – Assessment sign off and approval

Lead person(s) for this assessment:

Signed:

Date:

Senior officer approval of assessment:

Signed:

Date: 23/09/26

All full EFSIAs must be published on the Council's website as soon as possible after the decision is made to implement the proposal.