

Equality Impact Assessment

Part 2 – Guide & form



February 2015



Introduction

Before carrying out this assessment, you will have had an initial discussion with a member (or members) of the Diversity & Equality Group about whether you thought an Equality Impact Assessment (EIA) is required (see EIA Part 1 - "Prompt").

Obviously you decided to carry out an EIA, and the reasons you gave for doing it is a good place to start discussing the EIA itself.

You should carry out this assessment with the same person (or persons) that you had the initial discussion with, if at all possible, as this will give your discussion some context and consistency.

Process

Before completing the short form (overleaf), you will find this easier to do if you discuss in more detail why you thought an EIA was needed in the first place, and talk in more detail about what this means for the policy and any actions you need to take.

Before completing the form, think about the following:

- When considering whether or not to carry out an EIA in the first place, you thought about which issues or groups would or could be affected by the policy. Can you be more specific about this?
- Do you need further information about these areas, for example more data? If so, what exactly?
- Would it be helpful to contact any of the groups involved? You don't have to, but you can choose to involve others you think may be affected. Who would that be?

If you decide you do need more information, then you need to gather it before completing this assessment.

- Taking everything into consideration, including any evidence you have gathered, will or could the policy have a differential impact on particular equality groups, either positively or negatively?
- If so, you need to discuss what you need to do to ensure the policy is robust.
- What will you do now? Your analysis should allow you to say whether you will:
 - Make no major change as you feel the policy is robust
 - Adjust the policy to take into account the potential impact of the policy

In some (rare) cases you could also consider continuing the policy even though it has the potential for adverse impact, or stopping the policy altogether for the same reasons.

In each of these cases, you must be able to explain clearly why you have taken your decision.

Next steps

Let your line manager know that you have carried out this EIA and let your Diversity & Equality Group representative have a copy of the completed form. This is mainly for information but also to allow the group to monitor EIAs and follow up any points that the group may have. A representative from the group will confirm that the EIA has been successfully completed.

Equality Impact Assessment form

(see guide on previous page to help complete)

Date of assessment
February 2016 initial assessment made but continual assessment shall apply until the end of the Audit Appointments remit in October 2016.
Title of policy to be created (or changed)
Audit Appointments 2016-21
What is the policy intended for?
<p>To apply transparency and fairness in the allocation of audits to staff taking account of both business need, personal circumstances and preferences.</p> <p>Audit Appointments for 2016-21 will be confirmed in May 2016 by Audit Strategy following approval from the Auditor General and the Accounts Commission. Both audit portfolios and individual audits for this period require to be allocated to audit staff in such a way that maximises the value of external audit and contribution of staff.</p>
In relation to the general equality duty and the protected characteristics, which issues or groups do you think would or could be affected and how? Be specific
<p>All Audit Services staff will be affected by the audit appointments and how they are allocated to individuals.</p> <p>In respect of the protected characteristics (age, disability, gender, gender reassignment, race, religion or belief and sexual orientation) Audit Services Group staff may be affected in different ways, and the main ones are considered below:</p> <p>People with a disability may not be able to travel or stay away, they may need special adaptations in audit rooms.</p> <p>People of a certain gender may have additional caring responsibilities, although we tend to think in terms of all staff having the potential for caring responsibilities. People could find it difficult to fulfill their caring responsibilities if they are allocated an audit which involves overnight stay or significant daily travel.</p> <p>People undergoing gender reassignment may be at a sensitive stage which requires more understanding and consequently being out at audit locations may not be appropriate. There ought to be equal access to washroom facilities in audit locations for such individuals.</p> <p>People of a particular religion or belief may need access to quiet rooms at different times during the day.</p> <p>However the public sector bodies where those staff are allocated to work are also required to take account of equality duties and to some degree may be able to accommodate particular additional needs.</p>
Did you need to obtain further information? If yes, how did you do that?
<p>We needed to obtain information from staff to learn whether they had a protected characteristic which we needed to take into account. An Audit Appointments 2016-21 team has been established. The team is sponsored by the Director of Audit Services and consists of one Senior Audit Manager and one Senior Auditor. It is supported by other members of ASG with the formation of 5 other groups:</p> <ul style="list-style-type: none">* Risk and Allocation Criteria* Residence and robust ICT* Resources including team structures* Reporting

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To add new content go to the Header and Footer view. If you do not wish to use this then delete it from here.

* Rollver/Handover intelligence - internal and client

There is representation also from the following groups:

- * Business Improvement Unit
- * PCS
- * Equality and Diversity Steering Group
- * Health and Safety

The Risk and Allocation Criteria Group have met twice and agreed the Audit Allocation Criteria which was agreed by ASG Management Team in March 2016. This will be used to allocate audit work across ASG. The Director of Audit Services had overall responsibility for allocating audit work.

All staff were invited to complete a preference form irrespective of their age, gender or any other protected characteristic. Analysis of the preference forms highlighted that staff with caring responsibilities or a disability may require additional consideration. The Director of ASG will take account of these circumstances during the allocation process.

What do you conclude is the potential impact on these areas?

Having established the allocation criteria, and the prioritisation of that criteria, and having received forms from every member of Audit Services Group we will make allocations which will support business need, be transparent and fair, and take account of personal circumstance and preference. This latter point should ensure that we have taken protected characteristics into account.

We ran a workshop for Audit Managers and Senior Audit Managers and a further one for Auditors and Senior Auditors in March 2016 to capture their views and the process so far. They also provided advice on the next steps in the project. At these workshops we were advised by staff that the process was more transparent and there was greater staff involvement than what there had been in previous Appointment rounds. Also the fairer distribution of stay away audits was welcomed.

What will you do now?

As at May 2016 Assistant Directors and Senior/ Audit Managers have been advised of their allocations. There has been the opportunity to revise allocations where issues have been identified. Staff will shortly learn of the audits to which they have been assigned, the Risk and Audit Criteria Working Group having taken into account any known protected characteristics as appropriate. There will an opportunity for staff to highlight concerns around their new portfolio and, where it is deemed appropriate, revisions will be made.

Whilst the new audits get underway around October 2016, it is recognised that the allocation of audits may be subject to change due to changes in a person's circumstances, or where, through the completion of a workplace assessment (at a new location), a concern arises which limits the ability of a person with a protected characteristic to participate in an audit.

Date: 17 May 2016

Signature

Elaine Boyd